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ABSTRACT

The purpose of this manual is to provide a new Federal or State quality control reviewer, with a background and understanding of his job in the Office of Management in the Regional Office of the Social and Rehabilitation Service of the Department of Health, Education, and Welfare. The mission of the Service is to enable certain of America's vulnerable and handicapped people--among which are impoverished families--to move from dependency, alienation, and deprivation toward independence, constructive contributions to society, and the realization of their individual potentials. The chapters in this manual outline an overview and background of the quality central system, State public assistance plans, State quality control case review process, the Federal quality control re-review process, guidelines on sources of verification for field review, interviewing techniques in quality control, worksheets and sample cases, and summary suggestions. Appendixes include information concerning frequently asked questions, abbreviations, and exercises. A companion document, Training for Federal Quality Control Review: Instructors Guide, supplements the training of reviewers. (KP)

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TRAINING for FEDERAL QUALITY CONTROL REVIEW

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U.S. DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service
Office of Quality Control Management

SRS-74-04007 ● July 1973

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INTRODUCTION

INTRODUCTION

This Training for Federal Quality Control Review manual has been built upon a general need for the new Federal Reviewer in the Quality Control System to understand his particular place and his special duties in the larger Federal Government System. The position of the Federal QC Reviewer is located in the Quality Control Unit of the Office of Management in the Regional Office of the Social and Rehabilitation Service of the Department of Health, Education, and Welfare--one of the ten departments of the Federal Government structure.

The mission of the Social and Rehabilitation Service is to enable certain of America's vulnerable and handicapped people--among which are impoverished families--to move from dependency, alienation, and deprivation toward independence, constructive contributions to society, and realization of their individual potentials.

In partnership with State and local governments and private groups, the Social and Rehabilitation Service sponsors a comprehensive program of social services including income and medical support, rehabilitation, job referral, and other supportive services for individuals and families who need and qualify for assistance.

The thrust of SRS is to provide an integrated system of mutually supporting services that can be applied in appropriate combination to help people in need. SRS carries out its mission primarily through grants of funds to the States for specific programs. To qualify for most grants, each State must agree to bear part of the costs and to accept certain Federal standards.

The mission of SRS is founded on laws passed by the Congress. The Quality Control SRS programs are authorized by the Social Security Act. The Federal Register, April 6, 1973 details this authorization which is discussed further in the final chapter of this manual.

SRS carries out its responsibilities through a headquarters staff in Washington and 10 Regional Offices throughout the United States. The headquarters staff, in close consultation with Regional personnel, provides unified national leadership by establishing policies and procedures, setting standards for program quality, and developing methods for increasing operating efficiency.

SRS delegates important operational authority to its Regional Commissioners and staffs who maintain close working relations with State social, health, and rehabilitation agencies in order to strengthen State and local programs.

Aid to Families with Dependent Children (AFDC) is one of the major SRS programs. The immediate thrust of Quality Control, of which you will be an integral part, is to help States better manage the AFDC program.

As a member of the Quality Control staff you will serve in one of the ten Regions of the Federal Government. You are now beginning your orientation in the Federal re-review process, which is an essential part of the Quality Control system. This training material has been developed to aid you in the transition to your role. These materials are designed to cover the theoretical as well as the practical aspects of your job. They cover an overview of the Assistance Payments Program and Quality Control System as an administrative tool of that program. In addition, your special instruction with these materials will emphasize the practical application of these concepts to State Quality Control Systems. This guide presents the training materials in the sequential order of the training course.

The first chapters of this manual provide the new Reviewer a background of the total assistance program. The management aspect of Quality Control as it applies to the assistance program is stressed. With this background established, the trainee is taken through the practical aspect of the Quality Control review process. Included are training materials in both the State Quality Control review process and the Federal re-review process. The Regional Office Quality Control Trainer will provide for supplementation of the content of this manual. This additional training will include review of actual State plans and eligibility factors which you will be asked to test. The new Reviewer will participate in demonstration Federal field reviews prior to being assigned full responsibility for conducting these reviews.

During the orientation and subsequent training activities with Regional trainers and lead QC persons in the Regions, emphasis will be placed upon the necessity and importance of the Quality Control process in the administration of State and Federal programs. It is important that you as a Reviewer should have a thorough understanding of the purpose of Quality Control and how it must be administered with due respect for the rights of the people whom the Aid to Families with Dependent Children Program is intended to serve.

The editor of this manual has relied heavily upon the knowledge and help of personnel in the Central Office and Regional Offices for the development and correctness of the materials herein. These content specialists are Miss Phoebe Bannister for "State Public Assistance Plans," Miss Dorothy Soltys for the "Quality Control System," John Schrott of Central Office, Clint Lambert of Region VI, Edward Friesen of Region VIII for general QC training data, and Richard Bistritz for input on interviewing. Special recognition must be given to Miss Pearl Joyner and Mrs. Virginia Mechelke for dedication in preparation of the manual for publication.

Elizabeth W. Stone
Director of Training

SECTION I
Overview of the Quality Control System

OVERVIEW OF THE QUALITY CONTROL SYSTEM

Fred Schutzman

Director, Office of Quality Control Management

Introduction

A prime objective of the Federal Government is to improve management of Public Assistance programs. One of the tools for improvement is the Quality Control system. The Quality Control review serves as a base for evaluating the efficiency of the Public Assistance program in the individual States. The system helps to establish accurately the magnitude of the ineligibility and overpayment rates in the AFDC (Aid to Families with Dependent Children) program. It will accomplish this by establishing ineligibility and overpayment rates during the base period of April to September, 1973. By November 30, 1973 analysis of the results of the QC sample will have been completed and base period ineligibility and overpayment rate will be established. The States will then be required to reduce the rates of ineligibility and overpayments in the AFDC category in three equal increments to a maximum of 3% for ineligibility and a maximum of 5% for overpayment by June 30, 1975. The error rate reductions will occur as follows: The first one-third will be during the period of January to June 1974, the second one-third will be for the period July to December 1974, and the final reduction to the 3% ineligibility and the 5% overpayment rate will be accomplished by June of 1975. The base period and subsequent error rates are determined by the States themselves. The error rates established by the State QC system will be subject to Federal evaluation.

The States' Quality Control unit will take their required sample on a monthly basis. The size of the sample in each State depends on the population of the AFDC caseload. For example, in the larger States which have a large welfare recipient population, the minimum required in a sample will be 1200 cases. This means that for a six month period the State will take 200 sample cases a month.

Through its Regional Offices, the Federal Government will monitor the States' sampling procedures and techniques. In addition the Regional QC office will take a subsample of the States' QC sample. The purpose of this subsample is to determine the accuracy of the States' results and to provide an early warning system if the States' findings for the period are in substantial error. In those States where a 1200 case sample is required, the Federal Government through the Regional office will be required to take a subsample of 30 cases a month for a total of 180 cases for the six month period. It should be emphasized that the Federal Monitoring procedures are to assure that the States' QC findings for the base period will be accurate and will be completed in a timely manner.

The revised Quality Control regulations were issued on April 6, 1973. The new regulations require only minor changes to be made in the operation of the QC system. Although the present QC system is generally the same as it has been in the past 2 years, the major change is in the intensity of the State and Federal effort. The States must complete their sample in order to establish a base period error rate by November 30, 1973. In the past the Federal Government has reviewed the States' QC sample only once a year, whereas it is now required to review cases and make field investigations on a continuing basis during the six month base period. The Federal Government is prepared to augment the State QC staff in order to assure that the States are completing their samples on time. However, this will only be done as a last resort. Every effort will be made to bring all the pressure necessary to assure that the States are completing their sample in an accurate and timely fashion.

Organization

In order to accomplish this more intensive Federal role, several organizational changes have been made. In the Regional Office of the Social and Rehabilitation Service the QC unit has been moved from the Assistance Payments Administration to the Office of Management. The Associate Regional Commissioner for Management will be responsible to the Regional Commissioner to assure that the QC organization is accomplishing the objective. As such, he will take an active role in the planning and execution of the Regional monitoring effort and accordingly will spend considerable time with the QC unit. For the QC objective the Regional Commissioner reports to the Associate Administrator for Management in the Central Office. This is a major organizational change to shorten the lines of communication and to emphasize the necessity for the high priority QC program. In the Central Office a new office of QC management has been formed. This office reports to the Associate Administrator for Management and is responsible for setting the policy, establishing guidelines, providing technical assistance, and monitoring the Regional and State sampling completion rates. It has overall management responsibility for assuring that the QC objective is achieved.

Federal Monitoring

There are five basic elements of the Regional QC monitoring program. They consist of the following: (1) an initial assessment as to the overall readiness and effectivess of the State QC system in providing accurate, timely statistics regarding error rates and payments rates; (2) a review of the State case sampling procedures, initially and at least every 6 months, in order to ensure that the required State case sample is statistically representative of the AFDC assistance payments for the review period; (3) a complete case re-review of a monitoring subsample of the States' QC sample in order to determine the accuracy of the States' results and to provide an early warning system that States' findings for the period may be in substantial error; (4) assessment of State review progress and error rates throughout the six month period to determine that immediate State action or Federal supplementation of State review efforts is needed; (5) validation of an accurate base period error rate by November 30, 1973 through review and resolution of difference findings via discussions with appropriate State agency personnel. This will include verification of the accuracy of the statistical tabulation of the State error rate through Federal tabulations of State QC sample cases. The most important of the elements above is the review of the monitoring subsample cases included in the State sample. This will require the most Regional manpower and effort. The case re-review function is the heart of monitoring approach and is critical to an effective validation of the error rates.

Corrective Action

The establishment of the base error rate is an important function but the most important task is the States' developing and implementing a corrective action plan. This will assure that the error reductions will occur and that the States will achieve the goal of a maximum of 3% ineligibility rate and 5% overpayment rate by June of 1975. To assist in this most important function the Federal Government will conduct State administrative reviews of QC systems and related income maintenance functions. In addition, the Federal Government will provide technical assistance, develop and issue criteria for evaluating State corrective action program submissions, and will evaluate and approve State corrective action plans against the established criteria. Finally, the Federal Government will monitor the State implementation of the corrective action programs.

Training

Trained and competent manpower is a prime component of an SRS program that must be concerned with the implementation of the Quality Control regulations. SRS must be certain that its monitoring and review process is professional and there is no deviation in the level of performance from State to State. In order to achieve uniform quality control methodology and processes, guidelines and performance measurement levels will be evaluated to make certain that the QC programs are properly accomplishing their objective. The Central Office of SRS conducts crash training programs to convey and teach guidelines, standards, and models for manpower development and acquisition of knowledge regarding the special requirements of quality control. Crash training programs have taken place during the months of May and June 1973, during which four training sessions were held. In addition to training the QC reviewers, Regional training specialists who will have the long term training responsibility were also trained during the crash sessions. They are responsible for training any additional QC personnel that are required for supplementation of the Regional QC staff. In addition, they will be expected to assist the State training force in accomplishing the QC training for State QC reviewers.

Regulations

Other Federal regulations or Statutes that States believe impede the reduction of error are being identified. As an adjunct to the agressive QC program to reduce errors, regulatory changes related to eligibility determination methods, fair hearings, and overpayment are being issued. These changes draw upon the advice and expertise of State welfare administrators.

Independent Sampling Expertise

The Federal Government anticipates the utilization of independent sampling expertise. A contract will be let with one of the nationally recognized statistical sampling organizations to test the applicability of a QC system and report its findings to SRS by September 30, 1973. This evaluation is anticipated to ease any fears on the part of the States, the Congress and the general public about the applicability of a quality control system to the management of public assistance.

Public Relations

It is anticipated that a series of steps will be taken to create effective public relations and provide interested Federal and State officials with up-to-date progress reports. This public relations effort consists of letters, briefings, and regional conferences to explain basic QC direction with Federal, State and local officials. Press releases are issued periodically incorporating information from the reports being received from the Regions.

Overall Objective

It should be emphasized that the QC system is a tool that is being utilized to significantly improve the management of public assistance programs. HEW Secretary Casper W. Weinberger in his press release on Quality Control regulations stated, "Our hope and expectation is that the strong stimulus to error reduction inherent in the regulations will make unnecessary the actual withholding of Federal matching funds from any State." The Secretary said that the long range effect of the regulations should be very significant in terms of dollar savings to both the State and Federal Governments. Already he noted,

"... corrective action by States to reduce ineligibility and overpayments is beginning to be felt. One of the corollary benefits to which we look forward is the restoration of public confidence in the program's operation."

An indication of the extent of the importance of this program is that it has been chosen as a Presidential objective to be monitored by the Office of Management and Budget.

SECTION II

Background of the Current Quality Control System

BACKGROUND OF THE CURRENT QUALITY CONTROL SYSTEM

John X. Bowes
Deputy Director, Office of Quality Control Management

District of Columbia Study

Back in the early 1960's, Senator Robert Byrd of West Virginia was Chairman of the Senate Subcommittee for the District of Columbia. In this position he scrutinized all budget requests of the District Government. His chief concern at that time was the rising caseload and welfare expenditures of the District's Welfare Department. The Aid to Families with Dependent Children (AFDC) caseload and the Aid to the Permanently and Totally Disabled (APTD) caseload were rising quite dramatically during this period.

The Subcommittee called for a study of the AFDC and APTD caseload, using the trained investigative staff of the District Welfare Department's Office of Investigation and Collection. This office was an integral part of the District's Welfare operation in locating absent parents, clearing property ownership, placing and collecting on liens, assignments, etc. In the performance of these activities, they relieved the social workers of a time consuming and technical workload.

The results of this study were reported to the Congress as indicating an ineligibility rate of about 52 percent in the AFDC caseload. Although the validity of these findings, the sampling procedures, etc., were questioned by many; the fact remains that the Congress was sufficiently impressed to wonder about the ineligibility in the caseload of other large centers such as New York City, Detroit, Los Angeles, etc. The findings in the District far exceeded figures reported by the Federal Department of Health, Education and Welfare.

National Eligibility Review

In 1963, Senator Hill of the full Committee formally requested the Department of Health, Education and Welfare to undertake a nationwide review of AFDC caseload for the purpose of ascertaining the national picture. The DHEW initiated a gigantic undertaking which is now remembered by many as the National Eligibility Review. A sampling design, form, schedules, instructions and training were all developed and implemented in a very short period of time. Federal staff at both Central and Regional office level were detailed to the "ER" study. This study, when completed, showed a national rate much lower than that reported by the Subcommittee study in the District but also higher than that formally reported by DHEW. In reporting these findings back to the Congress, DHEW committed itself never again to be in a position where it would not have accurate information available on the validity of the caseloads--both by State and nationally. A system would be initiated immediately to serve not only this purpose but also to serve as a management tool for States to improve agency performance in correcting problems associated with high ineligibility rates and worker performance.

Quality Control - 1964-1970

The early Quality Control program was focused on worker performance with the objective being to monitor decisions made by the worker. As such, it was not primarily designed to report validly on rates of ineligibility in the total caseload but rather on the correctness of the worker's decision in (1) application approvals and (2) redetermination of eligibility. These were called positive actions. Negative actions were also sampled and tested, i.e., denials of applications and discontinuations of assistance. All errors in performance where the worker failed to use the proper procedures or methods in applying agency policy were cited, irrespective of whether this failure affected eligibility or payment.

During this period of time, States were slow in setting up separate QC units in their State and the Federal agency staff at both Central and Regional offices carried QC responsibilities in addition to numerous other activities. The effective utilization of QC by the States and the monitoring and technical assistance by the Federal agency were nationally uneven.

The accomplishment of this early QC system was that it did provide States with a formally designed management approach to looking at the income maintenance programs. More than this, it identified numerous, cumbersome and complex State policies and procedure which were the source of worker error. Finally it highlighted the lack of training the eligibility workers received in the correct application of these policies and procedures.

Quality Control - 1970-1973

In the late 1960's, there was a complete reassessment of Quality Control to make it more responsive to State agency needs. It was recognized that more emphases had to be given to QC as a viable management tool for corrective action. Also the simplified method came into being about this time. Under this method procedural requirements on the part of the agency worker were greatly reduced. Finally, valid rates of ineligibility became more important in light of the simplified method. All of these factors resulted in the revised QC system that went into effect in October 1970.

The new QC system provided for: (1) increased sample sizes for more precise data (2) establishment of tolerance limits 3% on ineligibility and 5% on under and over payment respectively; (3) identification of the specific factors contributing to the case as being ineligible or incorrectly paid; (4) distinction between client error as opposed to agency error; (5) a formalized Federal monitoring program; (6) the maintenance of monthly "early warning" control charts to identify early signs of problems; and (7) a greater Federal emphasis in the area of data analysis for the purpose of taking corrective action. In both 1971 and 1972, the Congress approved Quality Control staff positions to substantially increase Central and Regional office capability.

In spite of the concerted effort of the Federal agency, a number of States failed to respond positively to the QC operation. In certain of these States QC units were understaffed, required sample sizes were not being completed, and reports were not being submitted. Early in 1973, some 19 States were found to be without an operational QC system. Many of these were the larger States, involving the majority of the national AFDC expenditure. Compliance action was being contemplated for some States where Regional negotiations had reached an impass but this would take time to produce results. If QC were to work, there would have to be a much greater incentive for the States than had existed to this point. The Congress, the Administration, and the general public were calling for restoration of confidence in DHEW's and States' management of the rising welfare expenditures.

Quality Control - Present

In April 1973, the QC regulation was changed, tying QC rates of ineligibility and overpayment to fiscal incentives. States that fail to reduce error rates as reported by QC within a specified time will be subject to the loss of Federal matching funds. QC finally became a priority issue with not only State Administrators but with State and Federal Legislators as well as State personnel--a status that it should have had from the beginning.

Summary

As can be seen the QC system is not new, having been in operation now for almost 10 years. Its purpose remains unchanged. QC is now and always has been intended as a management tool for improving the income maintenance operation. What is new is the much greater commitment at the Federal level for achieving this goal. A secondary objective is the identification of Federal regulations hindering States in their ability to reduce error rates. What is now needed is a State commitment of the same magnitude as that of the Federal agency. The April 5, 1973 QC regulation is intended to ensure this commitment at State level.

With both the Federal and State agencies committed to improving the management of the welfare programs, through our joint efforts, we shall restore public confidence in those programs and in our ability to manage them.

SECTION III
State Public Assistance Plans

STATE PUBLIC ASSISTANCE PLANS

Both the presentation of the overview of the operation of the Quality Control System and the discussion of the background of the Quality Control System as it currently operates pointed up the management aspects of the system in its intent to improve the operation of the Federal-State public assistance program. As one means of accomplishing this improvement, the State must present tangible evidence of its intent to work with the Federal government in this management process. This "intent" is articulated in a written State Public Assistance Plan which represents the States' acknowledgement of their acceptance of the Code of Federal Regulations in the administration of their public assistance programs.

The Reviewer in Quality Control training will find that the State Public Assistance Plan is elaborated in the State eligibility manual which is the basic tool of the case worker in determining eligibility and the amount of payment. The following explains the Federal-State relationships and the conversion of the Federal requirements into the State plan.

Federal-State Relationships under the Public Assistance Titles of the Social Security Act

Basic to an understanding of the importance of the State "plan", is an understanding of the nature of the programs under the public assistance titles of the Social Security Act and the Federal-State relationships under these grant-in-aid programs.

The public assistance titles are enabling legislation. By the provision of Federal grants their purpose, as stated in the Act, is to enable each State, insofar as practicable under the conditions in such State, to furnish assistance to needy individuals.

The public assistance programs are administered by the States as State programs. The decision to operate a program with Federal financial support rests with the State, and the States have wide latitude with respect to the nature and scope of their programs. The Social

Security Act authorizes Federal financial support of State programs provided the State submits and has approved, a plan meeting specified conditions.

Social Security Act References to the State Plan

Several sections of each title refer to the State "plan." Immediately after the general purpose provision, each title begins with the statement "the State plan must provide", and thereafter specifies the conditions to which the State plan must address itself. Many of the conditions are common to all the public assistance programs. Basically, they assure certain minimum standards reflecting the national interest and concern. They relate to the groups of people for whom the Federal government will match payments; to assurance that basic rights of people receiving aid are preserved; (e.g. fair hearings, the opportunity to apply, safeguarding of personal information, statewide operation of the programs); to proper and efficient administration; and to consideration of income and resources. Originally the requirements to be met in the State plan were very general. Over the years, they have proliferated with more administrated and methodological requirements being imposed.

Another subsection speaks of the Federal responsibility. It provides that the Secretary "shall approve any plan fulfilling the specified conditions", and shall not approve any plan which imposes specified prohibited conditions of eligibility.

The fourth section of each title deals with "operation of State Plans." It provides that if the Secretary finds, after reasonable notice and opportunity for a hearing, that the plan has been altered to impose prohibited eligibility conditions, or that in operation there has been failure to comply with the conditions to which the State committed itself, the Secretary shall notify the State that further Federal payments will not be made.

Concept of the State Plan

From the above provisions of the Act there emerges the concept of the State plan as a formal document having the nature of a contractual agreement entered into voluntarily by a State, in which it commits itself to adherence to specific Federal requirements as a prerequisite to the receipt of Federal funds. The plan remains in continuous effect, subject to amendments and revisions necessitated by substantive program, administrative or legislative developments.

The plan, under this concept, is not an operating work plan or a procedural guide. Material to be included in the plan is only that which is directly responsive to specific Federal requirements.

The plan is the basis for the Federal-State relationship in the operation of the public assistance programs. As soon as a plan is submitted and approved, funds are granted and the relationship begins. Once established, the relationship and the flow of funds is continuous. As long as a State has an approved plan and is operating in accordance with it, it continues to warrant the receipt of Federal funds.

What a State Public Assistance Plan is Apt to Look Like

From the aforementioned, one would expect the plan to be a concise document with relatively stable content reflecting the requirements specified in law and regulation which provide the basis for the Federal grants to the State. Over the years however, public assistance "plans" from many States have become multi-purpose documents. Many include not only material relating to Federal requirements, but also contain general information about characteristics of State programs, exhaustive detail on State operating procedures and internal administrative issuances irrelevant to Federal requirements. They vary in format from State to State and the process of relating specific State plan submittals to specific Federal requirements can be complex and time consuming.

There are a number of factors accounting for this development in State P.A. plans. One of the most important has been the lack of standardization in the format of P.A. plans, and allowing States to submit their operational manuals, bulletins, internal administrative issuances, etc., as "plan" material satisfying conditions specified in the Act.

Today, there is an interest in reversing this trend and in returning to the original concept of the State plan as an agreement on the part of a State to meet specified Federal requirements as a condition for the receipt of Federal funds.

For the past few years there has been a movement to simplify State plans. A task force under the Office of the Secretary devoted itself to this purpose and succeeded in simplifying the plans of many of the constituent administrations. Within the bureaus of SRS preprinted statements that States can use in submitting plan amendments have been developed and recently there has been released a proposed rule giving the Federal agency the authority to prescribe the format in which State plans are submitted.

The Assistance Payments Administration of SRS has begun the development of a complete standardized and simplified State plan format. A good bit of work has already been done in this regard and it should not require too much time to complete the project. The major amount of work will fall upon the States in transposing pertinent sections of extant manual material to a single simplified document.

Use of the State Plan in Quality Control

Cases are reviewed under the quality control system in relation to approved State plan provisions relating to eligibility and payments. It is therefore important that QC Reviewers have full knowledge of the Federal requirements and options available to the States concerning these subjects, and where provisions relating to them may be found in the document or documents constituting the approved State plan.

Responsibility for the review and approval of State plan material has been decentralized to the Regional offices. The Regional Commissioner, SRS, has final approval authority which he exercises in relation to recommendations made by Regional program bureau staff. Responsibility for disapproval action still rests with the Administrator, SRS, under a delegation from the Secretary. Undoubtedly the QC manual or the monitoring guide provides instructions on working relationships between the quality control staff and the staff responsible for plan approval in the Regional offices.

In addition to knowledge of the approved State plan provisions relating to Federal and State eligibility and payment policies, it is also important for QC Reviewers to be knowledgeable about State procedural requirements which in most instances do not constitute official plan material. Under the present system of receiving whatever a State submits as plan material, many of the procedures will be found in the same operating manual that also contains provisions relating to specific requirements.

SECTION IV
The Quality Control System

THE QUALITY CONTROL SYSTEM

The State welfare agency provides financial assistance to individuals in need who qualify under the State and Federal welfare laws and regulations. As seen in the Public Assistance Quality Control System chart at the end of this chapter, the specific individuals who receive public assistance at any given point in time and the amounts they receive are determined by:

1) the State and Federal policies which set the parameters of the group which are eligible to receive assistance,

2) the eligibility determination procedures which are established for agency staff use in determining what type of individual is eligible, which needs of the individual will be met and by how much money, what resources will be considered in determining the grant, and how this information will be submitted to and processed by the payments division in order to get a check written. Included also are those procedures for cases already receiving assistance where factors of eligibility may be changing which would affect the amount of the grant, such as change in rent, child leaving or reentering the home, etc.

3) the skills, accuracy, and attitude of the agency staff in carrying out their assigned tasks. This includes: how they interpret the manuals and instructions, the kinds of training and work experience they have had, the number of cases they have to handle, the distribution of staff within the operating units, the organizational structure within the local agency, etc.

4) the accuracy and timeliness of the information provided to the agency by the client. This includes: his ability to contact the agency, his knowledge of the requirements, his willingness to provide the information, etc.

In order to ensure that the above four items result in a caseload of eligible individuals receiving the correct amount of money, the State agency operates a quality control system. This system is designed to 1) identify the rates of error in eligibility and payment and 2) provide information which will identify administrative action necessary to reduce these error rates.

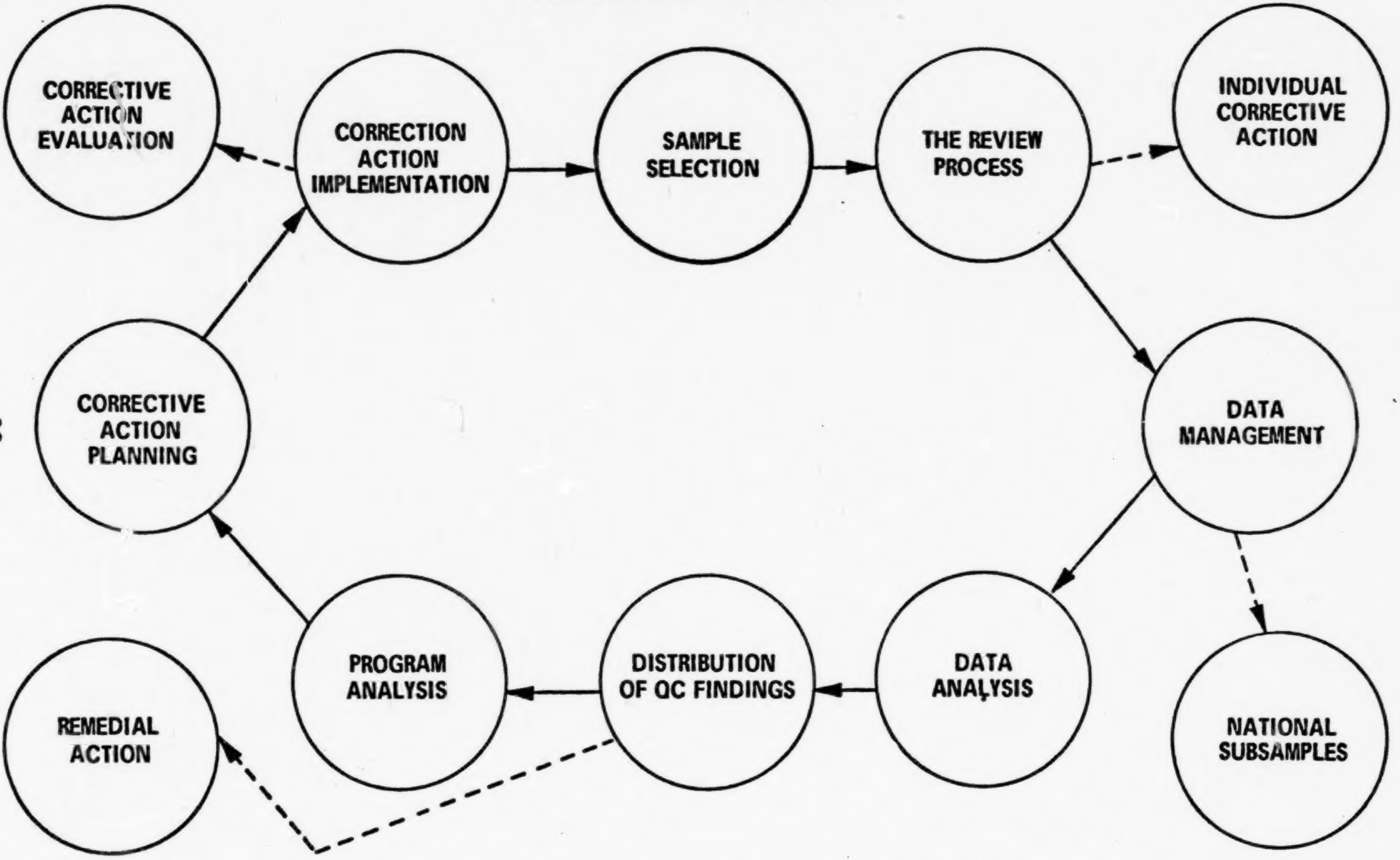
This system reviews the caseload through a review of a statistically reliable sample of cases--that is a sample so selected that it is representative of the entire caseload. Once these case reviews are completed, they are tabulated and analyzed to determine the error rates which exist in the current caseload. This analysis will show types of errors which exist and the specific nature of the error.

The quality control findings are then given to key administrative staff who are responsible for making changes to improve administration. These changes may occur in the State and Federal policies, eligibility determination procedures, agency performance, and client reporting. The effect of these changes (corrective action) in reducing the error rates in the total caseload will be evaluated in the ensuing quality control samples. Since Quality Control system is an ongoing review process, it provides continuing data which reflects current caseload error rates, identifies the type of errors being made, and evaluates the effectiveness of corrective action taken in reducing error rates.

Quality Control is a fully integrated review system which is part of the administrative function of the welfare agency. The inner workings of the Quality Control system are shown in the Components of the Quality Control System chart found on the following page.

The components of this system form somewhat of a cycle which begins with the selection of the sample cases. The sample size is determined by the size of the caseload, and the method of selection is generally systematic random selection. This is selection of every n-th case after the initial random start. The selection of sample cases is usually done by the agency research staff.

COMPONENTS OF THE QC SYSTEM


CORRECTIVE ACTION EVALUATION
CORRECTION ACTION IMPLEMENTATION
SAMPLE SELECTION
THE REVIEW PROCESS
INDIVIDUAL CORRECTIVE ACTION
CORRECTIVE ACTION PLANNING
DATA MANAGEMENT
REMEDIAL ACTION
PROGRAM ANALYSIS
DISTRIBUTION OF QC FINDINGS
DATA ANALYSIS
NATIONAL SUBSAMPLES

Once these sample cases have been selected, the names are given to the quality control director who assigns them to review staff. On receiving the case the reviewer reads the case record to determine: the background of the assistance unit, the current information about the case circumstances, and the documents contained in the case record. Also in this case reading, the reviewer will note the discrepancies, inconsistencies and possible sources of verification and areas which need to be pursued. Once he obtains this information, he contacts the recipient to explain the purpose of the review, gain additional information and documentation as well as the lead to other sources of documentation. When the reviewer obtains the remaining verification, he completes the worksheet and review schedule and turns these in to his supervisor. While some reviews can not be completed, all sample case worksheets and schedules need to be reviewed by the supervisor for completeness and accuracy. This basically is the review process in the QC system. Both the process and the roles of the reviewers are explained in greater detail in the next three chapters. Although not a substantive part of the quality control system, the error case information is sent back to the local agency for necessary adjustments. Correction of the individual case while necessary, is not the real objective of the Quality Control system. The goal of the Quality Control system is to identify the causes of repetitive errors and to eliminate the causes of error from the public assistance program through corrective action. In addition to the error information, the quality control unit provides the local agency with all other information obtained in the review which would be useful in the maintenance of accurate payments to this individual case. This comprises the individual corrective action component of the QC system.

In the data management part of the QC system the completed schedules then are processed, edited and reduced in the data management group. The information is further tallied, punched, and otherwise handled so that it can be cross tabulated and analyzed. In this process the Federal statistical tables are completed and the control charts on errors maintained.

Next within the QC system the data is analyzed to determine the error rates, identify the repetitive types of errors and determine significant statistical relationships in the sample case data. For the significant findings, the analysis would also include information on how the error occurred. Finally these analyzes need to be summarized into clear, concise findings which will be used for various purposes.

The distribution of the findings is done to ensure that everyone who should be aware of the findings receives this information at appropriate intervals. This information is needed by: top administrative staff for corrective action, staff development staff for intensified training in selected areas, eligibility staff as information relating to current type errors of which they should be made aware, and quality control staff for information on which their individual reviewers add up to.

In the Program Analysis component of the QC system the administrative and program staff will use this data for immediate corrective action to reduce the number of error cases in the current caseload. For example, cases which show a high percentage of errors in the worker's use of agency policies regarding the computation of how the earnings are to be considered in the budget, might result in instructions to local agencies that all cases of earnings are to be rechecked to ensure that earnings are correctly applied to the grant. This would decrease the error rates quickly and eliminate this type of error in the caseload so that quality control reviews in the succeeding sample months would only find new earnings error cases.

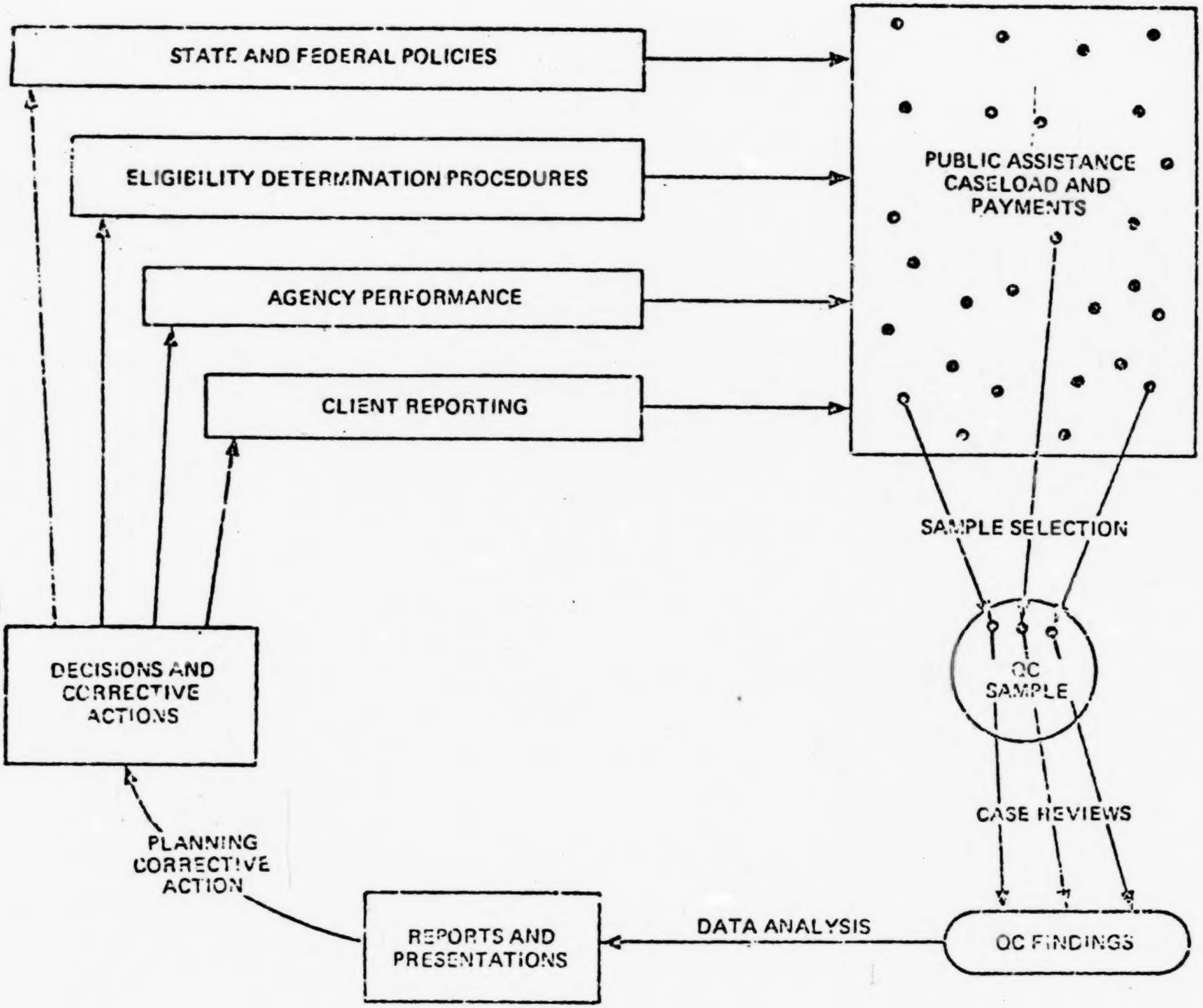
While this immediate corrective action is being taken to remove error cases from the current caseload, the data analyses is reviewed by top administrative and program staff to determine the cause of the error so that administrative action can be taken which will prevent the error from occurring in future caseloads. For example, if workers are making numerous errors in accurately applying the agency's policy with regard to using earnings information in computing the grant the following types of questions need to be asked: Why is this happening? Is the policy clearly written? Are the workers aware of where to find the policy in their manual? Are there enough workers to handle the information? Are the workers qualified to work with figures skillfully? Is there any reason to believe that they are deliberately misapplying the policy? In this component administrative staff review the State and Federal policies, eligibility procedures, agency performance and client reporting factors which are relevant to the specific error to determine what is the basic cause of the errors. Identifying the cause of error is the beginning of corrective action. It actually is the Corrective Action Planning Component of the QC system. Agency staff have to identify and evaluate various methods which would eliminate the errors. The evaluation includes feasibility of the action in terms of time, cost, disruption to other agency activities and anticipated results. Once the evaluation is completed, the agency must select the method or methods most appropriate for eliminating the error.

Implementation of the corrective action needs to be done properly and completely. Corrective action includes initial steps which will be taken only once as well as administrative controls to ensure that the action is actually and fully implemented. Administrative controls involves assignment of each action step and establishment of administrative controls to ensure that implementation occurs according to schedule.

The ultimate effect of the corrective action on the caseload is evaluated through the ongoing quality control reviews. The sample cases which are reviewed subsequent to effecting the corrective action should reflect a significant reduction in that particular type of error if the action was appropriate. The evaluation component shown in the chart is for evaluation of the administrative action itself--by analysis of the cases selected for corrective action including an analysis of the number of errors found and corrected, the agency can determine the actual results this type of action achieves. This information will be useful in planning future corrective actions in that the State agency will be more fully aware of the type of results each previously used action can achieve.

When the error rates are high and the agency staff are unfamiliar with this process, performance will not be as effective as it will be when it becomes more familiar to them. The more times the entire cycle is repeated, the more knowledge and expertise agency staff gain in fully utilizing the quality control findings. In addition, all appropriate agency staff will become more familiar with the quality control process and more conscious of each task they perform and how it relates to the total functioning of the agency Quality Control operation.

As Quality Control Federal Reviewers, you will be looking at the cases which the States quality control reviewers have completed. If the reviews are incorrect or incomplete, the information analyzed for corrective action planning will be incorrect or misleading. When subsequent reviews are made, the error rates will still be high and considerable time and money will have been wasted on ineffective corrective action. The ultimate goals of these reviews is corrective action and administrative control. The Federal re-review in its monitoring program will be assisting the States in their quality control system only if thorough and accurate re-reviews are being made.


STATE AND FEDERAL POLICIES
ELIGIBILITY DETERMINATION PROCEDURES
AGENCY PERFORMANCE
CLIENT REPORTING
PUBLIC ASSISTANCE CASELOAD AND PAYMENTS
SAMPLE SELECTION
QC SAMPLE
CASE REVIEWS
QC FINDINGS
DATA ANALYSIS
REPORTS AND PRESENTATIONS
PLANNING CORRECTIVE ACTION
DECISIONS AND CORRECTIVE ACTIONS

Public Assistance Quality Control System

SECTION V

State Quality Control Case Review Process

THE STATE QUALITY CONTROL CASE REVIEW PROCESS

The State Quality Control case review process involves an independent determination of the client's eligibility for financial assistance at a given point in time called the "review date." This review date is specifically defined as the date of the payroll from which a sample selection is drawn. This sample represents the total caseload and permits projecting the findings to the entire caseload.

The individual case review consists of the following steps:

1. Analysing the case record and transcribing eligibility functions on Quality Control Reviewer's worksheet Form SRS-APA-341B.
2. Interviewing the client and reviewing all eligibility elements.
3. Verifying all eligibility factors affecting the client's right to a money payment.
4. Reaching a definitive conclusion concerning eligibility for assistance and correctness of payment as determined by the local agency.
5. Summarizing the nature and causation of payment errors found in the course of review.
6. Coding the review findings on the Quality Control review schedule, Form SRS-APA-341A.

From the case record the Quality Control Reviewer obtains data about the client's current assistance status as determined by the State. In addition the case record provides information about the client's background that helps the QC Reviewer understand the client's situation.

The case record information relating to eligibility and payment is transcribed in Column (2) of the QC Reviewer's worksheet. Identifying information from the case record is recorded on the face sheet of the worksheet.

Quality Control regulations stipulate that a client interview is required for each case selected for review. During the interview all factors of eligibility pertaining to eligibility for assistance are discussed with the client. He often has in his possession many of the documents needed to complete the review. Lacking them the client is sometimes able to cooperate with the QC Reviewer in securing the needed verifications. The interviewer needs to be tactful and considerate of the client's situation, but firm enough to obtain the necessary information.

As later pointed out in the discussion of the role of the Federal Reviewer, when the client does not have the required verifications, the QC Reviewer must turn to collateral sources for the evidence needed to complete the review. This may involve such tasks as checking public records, contacting community sources, such as schools, doctors, banks, and insurance companies.

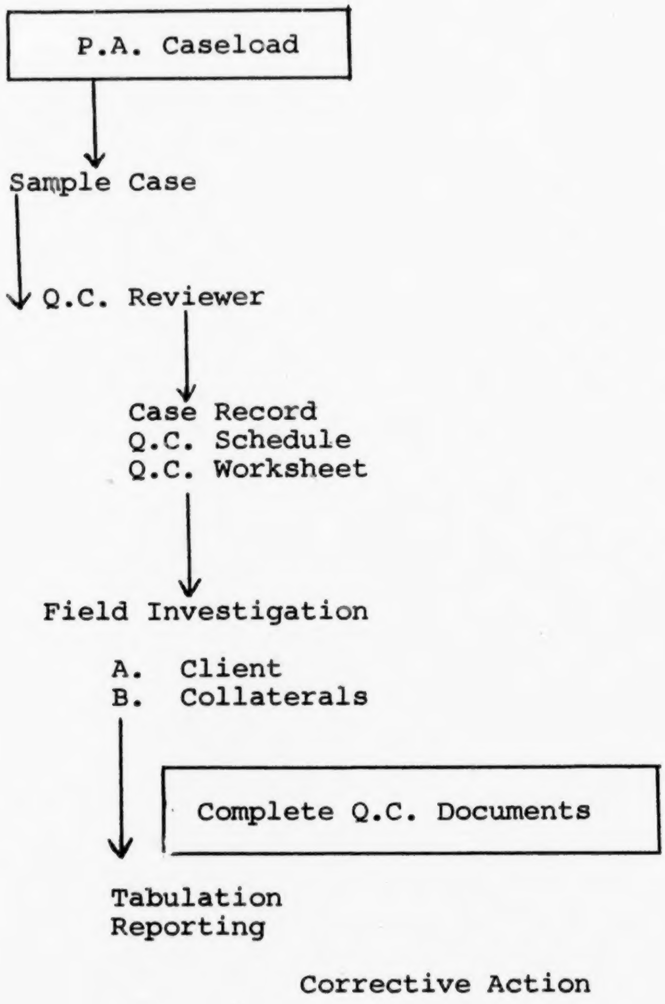
After the field review is completed and all factors have been completely documented, the QC State Reviewer summarizes his findings on the worksheet. All factors are tested against the State's Plan for determining eligibility and payment

In certain situations the QC Reviewer may not have been able to secure conclusive evidence of one or more factors of eligibility. It then becomes necessary to draw inferences from the other facts which have been established. In all situations in which the Reviewer is unable to obtain documentation, the cumulative evidence is used to support the Reviewer's decision. These situations are reviewed with the QC supervisor to assure the integrity of the review process.

The State QC Reviewer then codes the results of his review on the QC schedule (APA-341). The coding on the schedule facilitates compilation of data for analysis purposes upon the completion of the review.

The QC Reviewer prepares an analysis of the errors found and enters it in Section IV of the schedule. The purpose of this analysis is to initiate immediate corrective action by the local agency, and to identify the kinds of errors that are systematic of widespread problems requiring corrective action on a Statewide basis.

STATE QUALITY CONTROL REVIEW PROCESS



SECTION VI
The Federal Quality Control Re-Review Process

THE FEDERAL QUALITY CONTROL RE-REVIEW PROCESS

The decision to use the error rates developed by the State Quality Control system as a means of adjusting Federal financial participation in assistance payments programs made it imperative that the rates be both timely and accurate. Furthermore, it was mandatory that the system be able to reflect any changes in error rates as they occurred in order to test the success or failure of actions initiated for the purpose of reducing the error rates.

To accomplish this the regulations were modified to provide for the continuous Federal monitoring of the State quality control data gathering process. In effect, a parallel ongoing re-review of a subsample of completed State Quality Control reviews was established to test the reliability of the State reviews, thereby insuring that the error rate produced was valid.

While methods of documentation are similar in the State Quality Control review and the Federal re-review, there are also significant differences both in purpose and in method. The State reviews all cases in a randomly selected sample each month while only a subsample are selected for Federal evaluation and re-review. In the States the reviewer is responsible for conducting a review from assignment to completion, while the Federal re-review may divide the responsibility between Monitors and Field Reviewers in order to expedite completion of the review and correct application of State policies and procedures. These and other differences will be noted in the discussion of the various functions and roles in the Federal re-review process.

It is important to note, however, that the trainee-reader of this manual, whether he holds the position of Federal QC Reviewer or that of State QC Reviewer, will find it advantageous to become familiar with the duties and the position in the hierarchy of his counterpart--be it at the State or Federal level. Whereas the previous section dealt with the case review process in the States, this section highlights the Federal Quality Control re-review process, emphasing especially the activities of the Reviewer in the process.

ROLES OF THE FEDERAL QUALITY CONTROL STAFF

The Quality Control Reviewer is an integral part of a network of personnel needed to make the monitoring program operative. Whether he receives his initial training in Central Office located in Washington, D. C. or in a Regional Office, his assignment will be to one of the ten Regional Offices. His actual physical location of operation may not be in the same city or State in which the main Regional Office is located but may be in one of the States in the Region. For example, the Reviewer may be assigned to Region IV whose base of operation is Atlanta, Georgia, but the Reviewer's duties may confine him only to the State of Florida.

As part of the Regional Office Quality Control staff, the Reviewer relates, in some way through a channel of operation to five other persons on the Federal Review team: 1) the Regional QC Coordinator, 2) the Monitor, 3) the Research Analyst, 4) the QC Training Specialist, and 5) other Reviewers. The Reviewer is directly responsible to the Monitor for his activities and findings.

The Regional Coordinator

The Regional Coordinator is responsible for supervision of the total QC operation in the Region. He supervises all Regional staff performing Quality Control Activities. The Regional Coordinator has five major activities and responsibilities:

1. Initial deployment and subsequent redeployment of regional monitoring staff;

2. Supervision of activities of monitoring personnel;

3. Technical review and approval of Monitor's findings, including final resolution of all citations of error through discussion with State personnel;

4. Monitoring the progress of State QC reviews;

5. Making periodic reports to the Associate Regional Commissioner for Management.

The Coordinator's role in the re-review process is to review the case variance reports submitted by the Monitors and discuss them with the appropriate State personnel. When negotiation of an individual case variance report is required, the Coordinator will meet with the State's designated negotiator in an attempt to resolve the differences. These negotiations may lead either to acceptance of the Federal re-review findings or acceptance of State review findings.

For unresolved cases, the ARC for management will transmit an official letter to the State declaring that Federal findings will stand unless the State can satisfactorily substantiate its own findings within a specified time limit.

The Monitor

In each Region there are several Monitors whose activities are coordinated by a Lead Monitor. Each Monitor is charged with the responsibility for determining the correctness of completed Quality Control reviews from one or more States. In some Regions Monitors may be assigned a team of Field Reviewers while in other Regions Field Reviewers will be drawn from a pool without fixed responsibility to a given Monitor.

It is the Lead Monitor's responsibility to select the subsample of cases to be re-reviewed from the list of completed reviews submitted by the States. By prior agreement with the State, the Monitor will also secure the completed QC schedule and worksheets together with the income maintenance case records to have them available for analysis by the respective State Monitors.

When responsibility for the Federal re-review is divided between a Monitor and a Field Reviewer, it is the Monitor's responsibility to assess the adequacy of the State Quality review and the correctness of policy application in the determination of eligibility and payment. It is also the Monitor's responsibility to provide the Field Reviewer with the instructions needed to secure the documentation necessary to overcome any inadequacies on the part of the State noted by the Monitor.

It is therefore essential that Monitors be thoroughly familiar with the State plans and the correct application of policy. Monitors will find it useful to prepare a schematic summary of each State plan for these States for which they have responsibility on a QC worksheet, Form SRS-APA-341 as illustrated on pages 68 to 77. Note that characteristics of the eligibility elements are entered in Column #2 with State manual references entered in Column #3.

The first step in the re-review process is filling out the identifying information and findings in Section I and II of the QC Federal Monitoring Schedule, as instructed on pages 107 to 111. The Monitor then proceeds with an assessment of the State QC reviewer's activity in regard to each eligibility element both as to adequacy of documentation and policy application. Information in the case record is carefully compared with the completed review in order to determine that all information necessary for the review has been correctly transcribed and whether documentation reported to be in the case record is in fact there.

If in the judgement of the Monitor there are no discrepancies and all elements have been adequately tested in conformity with the State plan, the review will be accepted as adequate. Agreement with the State's findings will be then recorded in Column #2 of Section II of the monitoring schedule. The fact that a review was judged to be adequate, however, does not preclude the possibility that the State reviewer made an error that could have been uncovered had a full field re-investigation been conducted.

When the Monitor considers that any element has been inadequately documented or that additional information is needed to make a conclusive determination of eligibility, necessary proofs will be secured before a decision is made about the validity of the State review. In some cases the Monitor may secure the necessary information himself simply by making a telephone call. Most cases, however, requiring more complex investigations will be referred to a Field Reviewer who will follow the Monitor's instructions for securing any needed information. After receiving the Field Reviewer's report, the re-review will be completed.

The Monitor's instructions to the Field Reviewer for securing additional clarification or documentation are entered in Section IV of the monitoring schedule. It is important that the Monitor state clearly the nature of the inadequacy and what it is that needs to be proved. While methods for securing documentation may be suggested, the Field Reviewer should have freedom to find alternative methods acceptable to the client in the event that the documents suggested are not readily available.

In the course of comparing the State QC review with the case record, the Monitor should pay particular attention to a number of details to avoid the necessity of recalling case records or having to make a trip to the local agency to secure additional information. It is important for example, to note the date of the most recent determination of eligibility as well as the dates of any subsequent case actions and the basis for such actions for adjusting budgets. It is frequently impossible to make an accurate determination of the correctness of a welfare payment unless the sequence of events is clearly understood and taken into consideration. The 15-day advance notice requirement and other factors involving a time frame used in averaging income should be noted and also taken into consideration in providing instructions to the Field Reviewer; for example, when giving instructions for securing proof of earnings for a period of time other than the one used by the State QC reviewer that the Monitor may question.

To the extent possible the Monitor should be available to answer any questions raised by the Field Reviewer both prior to leaving for the field and also while in the field. This will minimize the need for having to make return visits to clients or collaterals.

Upon receiving the Field Reviewer's report the Monitor will then proceed to evaluate the information received and determine whether or not the State QC findings were correct. When the re-review findings agree with the State, Column #2 of Section II of the monitoring schedule is completed without any additional comments on the part of the Monitor. Any time, however, that the Monitor records a disagreement with the State findings, the Monitor will prepare a summary of the basis for the disagreement citing the documentary evidence and the State policies in question. This report is necessary in order to enable the Regional Quality Control Coordinator to discuss the error citations with the State program administrator and to resolve any areas of disagreement.

The Field Reviewer's Role

Unlike the State Quality Control Reviewer who is charged with the responsibility for documenting all elements of eligibility and determining the correctness of payment within the context of the State plan, the Federal Field Reviewer is only responsible for securing the documentary evidence of specific factors identified by the Monitor and for reporting any other items found not noted by the State Reviewer that may bear on the individual's right to a money payment. A thorough understanding of the State plan is not essential to the performance of his responsibility, although a good working knowledge is helpful.

The methods and sources used by the Federal Field Reviewer for documenting elements of eligibility are identical to those employed by the State Reviewer as described in the section of this manual entitled "Guidelines on Sources of Verification for Field Review". The difference lies in the fact that the Federal Reviewer focuses on overcoming the deficiencies noted by the Monitor rather than on the FULL field investigation of all elements.

The Field Reviewer receives Form OQC-2 from the Monitor with his instructions written in Section IV. He will also usually receive a copy of the State QC review. In preparing for his field activities, the Field Reviewer should read the Monitor's instructions, carefully noting the specific factors to be documented and the suggested methods for securing the necessary proofs. If possible, any questions the Field Reviewer may have about the instructions should be discussed with the Monitor before proceeding to the field. He should also become familiar with the recipient's total situation in regard to all elements of eligibility as determined by the State QC reviewer in order to be able to identify any discrepancies that may come to light in the course of the home visit. It may be advantageous to prepare a brief eligibility profile in preparation for the home visit. Such a profile would be a brief summary of the household composition, cash convertible resources, available income and budgetary requirements applicable to determining the client's eligibility as of the review date. This will serve to alert the Field Reviewer to any factors not identified by the State Reviewer. All such new information obtained during the home visit should be documented and reported even though a formal instruction was not received from the Monitor.

While there may be instances that the Field Reviewer will be able to secure the verifications needed from public records without contacting the client, in most cases home visits will be made in order to secure the client's consent and cooperation in securing any necessary documentation. To insure full cooperation of the client, appointments should be made in advance of the home visit whenever possible. Appointments can be made by letter, by telephone, or in person. It is advisable when calling on a client in person for an appointment that the Field Reviewer should be prepared to proceed with the interview immediately in the event the client so desires. The client should be given ample opportunity, however, to set another time in order to be prepared for the Reviewer's visit.

If the Field Reviewer is to be successful in enlisting the client's cooperation, it is important that he have a clear understanding of the purpose and method of the QC re-review and is able to explain this in terms the client can understand and accept. The client needs to know that the re-review is a test of the State's QC system which can only be accomplished by a re-review of the client's situation and will require documentation of all factors that the State may have overlooked. In order to conserve time and to avoid unnecessary inconvenience to the client, every effort should be made to avoid duplicating verification that has been adequately recorded by the State Reviewer.

The resourceful and imaginative Field Reviewer will attempt to secure the necessary documentation by the quickest and most expedient method possible acceptable to the client. When actually in the field, the Reviewer may find that the methods suggested by the Monitor are not the quickest and the best. Sometimes the client may prefer that the Reviewer use another method. It is important, therefore, that the Reviewer always keep the objective in mind, rather than a specific method that may have been suggested by the Monitor. For example, the Monitor may have given instructions to secure proof of relationship of children to payee and suggested seeing birth certificates. Should the client not have certificates, the Reviewer might use other documents readily at hand, such as insurance policies, divorce papers or some other evidence. In some cases it may be difficult to secure the proofs requested, in which case the Field Reviewer may discuss the problem with the Monitor before terminating activity on the re-review verifications.

Documentation of the Field Reviewer's findings in response to the Monitor's instructions will be recorded in Section V of the QC Federal Monitoring Schedule. He should also report any new information found which may affect eligibility or payment. Pages should be added if additional space is needed. Upon completion, the Monitoring Schedule and the State QC Report are returned to the Monitor for assessment in the light of State policies.

The QC role of the Federal or State Reviewer does not encompass provision of service. When individuals bring their service needs to the attention of the Federal Reviewer, the Reviewer must point out that he is not the person who provides service. If the client persists, the Reviewer may state that he will relay the client's concerns to his own supervisor-the Monitor.

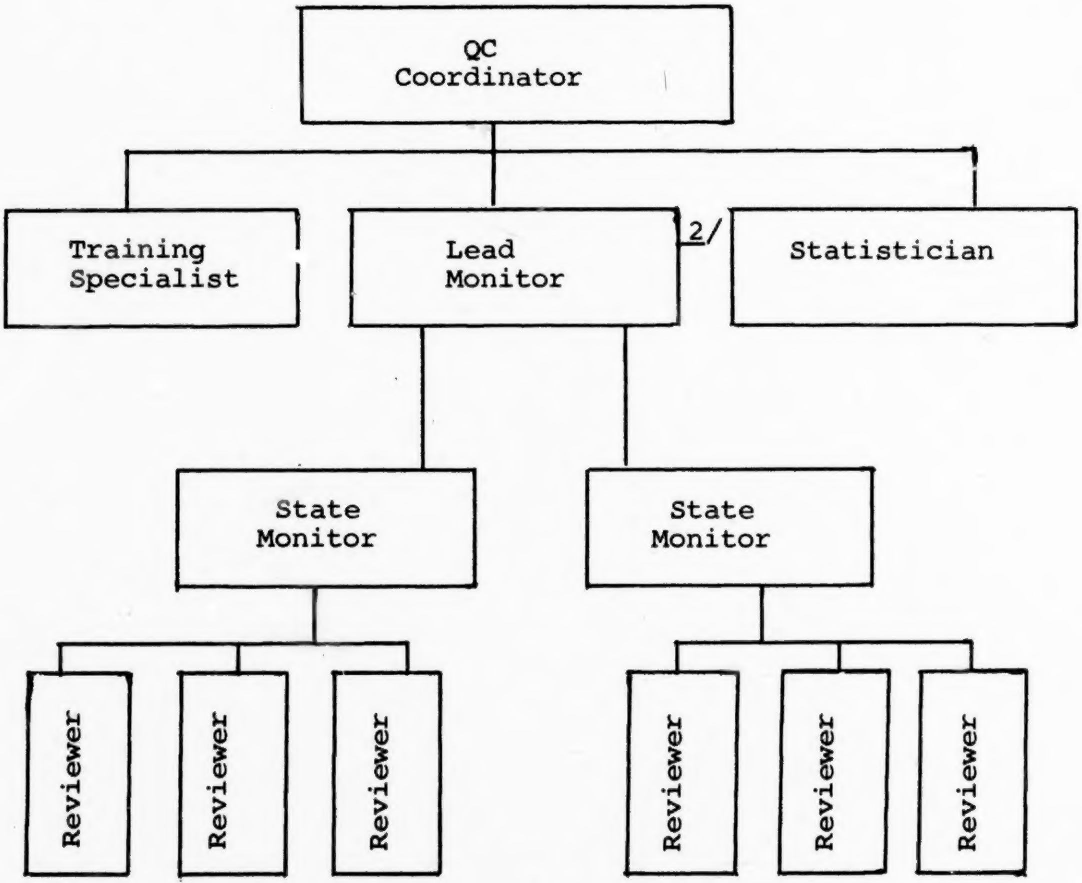
The Research Analyst

Reviewer contact with the Regional Research Analyst will be minimal. The Research Analyst is responsible for validating that the State sample selection is in conformity with Federal regulations and assists States with data analysis. For Regional Office staff, he maintains requested control charts of State error rates, selects the sample for Federal re-review purposes and is responsible for checking the accuracy of the State's six months QC report. Any error that the Reviewer finds in the State QC review process will be transmitted through channels to the Research Analyst for adjustment of the State error rates.

QC Training Specialist

The Training Specialist will direct the education and training activities of the Reviewer during the first few weeks of his assignment and orientation in the Region. The relationship between the Reviewer and QC Training Specialist is one in which the Training Specialist acts as instructor and coordinator of all planned training activities in the Region.

EXAMPLE OF A TYPICAL REGIONAL QUALITY CONTROL UNIT 1/



1/ Organizational Structure may vary among the Regions.

2/ In some instances, the Chief Monitor and the Regional Coordinator are the same individual.

SECTION VII
Guidelines on Sources of Verification for Field Review

GUIDELINES ON SOURCES OF VERIFICATION FOR FIELD REVIEW

A. Introduction

As has been explained elsewhere in this guide, the case review process will be performed by a team of field Reviewers and a Monitor. Under the team approach, the case record review to be performed by the Monitor and the field investigation to be carried out by the field Reviewer are complementary functions. It is therefore important that the field Reviewer fully understand the nature and purpose of his assignments, even though he need not be knowledgeable of eligibility and payment amount criteria.

These guidelines on verification have been prepared to assist the field Reviewer in fully understanding his function so that he can carry it out in an effective manner. The guidelines may also act as a means to update the Monitor's overall knowledge of the process.

The guide lists the generally acceptable verifications, in order of priority, for the individual elements of eligibility. The listings are not all-inclusive, nor will they apply equally to all case review situations. In a given case situation, it will be necessary to evaluate the case circumstances and determine selectively which available verification source(s) meets the needs for the relevant eligibility factors.

In the investigation of certain types of cases, primary documentation is unavailable. This guide addresses these instances also. The best information available may be inferences that can be drawn from the existing facts that have been verified. This is particularly true with respect to verifying negative responses, i.e.: "I have no income," "I have no savings," "I do not know the whereabouts of my husband," etc. These circumstances can be difficult to document or otherwise substantiate definitively. In such instances, the investigation extends to the point where a firm basis for the decision rendered can be supported. In instances in which documentation is unobtainable, the determination will be guided by the accumulative evidence available.

B. The Client Interview

The importance of the client interview to obtain information cannot be overemphasized. Often the client will be able to furnish most of the evidence necessary to establish his eligibility. When he does not have the necessary evidence in his possession, he will often be able to advise the Reviewer where the verification can be obtained.

Perceptive interviewing will provide the necessary information to enable the Reviewer to evaluate the client's circumstances. A skillful interviewer will secure the client's help in establishing eligibility and will obtain insight into topics which require additional clarification or verification. The QC review process must stress skillful interviewing techniques as a method of ensuring a successful field review.

Pre-planning and structure are essential to assure a productive interview. However the interview should not be so structured or directed as to preclude the possibility of the client's active participation. Relevant topics should be covered in a fashion which enables the client the freedom to discuss his situation. The Reviewer furnishes the lead topic for discussion, giving the client the opportunity to explain past and present circumstances freely.

C. Sources of Verification by Element of Eligibility and Payment Determination

1. Age

The birth certificate is the primary documentary verification to establish eligibility for this element. Most states adopted central birth registration in the early 1900's but records are also retained in the county. If the client does not have a birth certificate available, birth record data is usually available from these sources.

a. Document or other record generally available from the client

1. Birth Certificate
2. Baptismal Certificate
3. Confirmation Papers
4. Military Service Papers

5. Immigration Papers
6. Naturalization Papers
7. Hospital Birth Certificate
8. Adoption Record
9. Passport
10. Voter Registration Card
11. Family Bible
12. Marriage License
13. Driver's License
14. State or Federal Census Record
15. Liquor Control Board Age Card
16. Employment I. D. Card
17. Life Insurance Policy

b. Verification information from other sources

1. State Bureau of Vital Statistics or Department of Health
2. Baptismal Record of Church
3. Hospital Records
4. School Records
5. Immigration Record
6. Naturalization Record
7. Church Records
8. Marriage Record
9. Physician's Records
10. Draft Board Records
11. Military Service Record
12. Confirmation Record
13. Voter Registration Record
14. Vaccination Record
15. Midwife's Record of Birth
16. Alien Registration Card
17. Insurance Company Records
18. Employer's Records
19. Labor Union Records

2. Living with specified relative

Two factors are considered to comprise this element: (1) the degree of relationship, and (2) living with the specified relative. The primary verification for relationship is the birth certificate. For school age children, the basic verification to establish "living with" are school records showing address of the child and the relative responsible for the child. For pre-school children, utilization of verification from other sources will be necessary based on the individual situation.

a. Document or other record generally available from the client

1. Birth Certificate
2. Adoption Papers
3. Baptismal Record
4. Marriage Certificate
5. Court Order Record

b. Verification information from other sources

1. Contact with School System
2. Hospital and Clinic Records
3. Landlord's Statement
4. Contact with Public Housing Authority
5. Court Support Order
6. Neighbor's Statement
7. Physician's Statement
8. Juvenile Court Records
9. Child Welfare Records
10. Voluntary Social Service Agencies
11. Community Organizations
12. Church Records
13. Minister's Statement
14. Head Start Records
15. Day Care Center Records
16. Bureau of Vital Statistics
17. Visual Confirmation

3. Deprivation - Death

The death certificate is the primary verification for this element. In most situations when a death certificate is not available, one or the other listed verifications would fully support the decision.

a. Document or other record generally available from the client

1. Death Certificate
2. OASDI Record of Lump Sum Death Payment
3. Veterans Administration Record Widow's or Survivor's Benefits
4. Veteran's Administration Death Payment Correspondence
5. Insurance Company Death Settlement Correspondence
6. OASDI Survivor's Benefit Notice

b. Verification information from other sources

1. Bureau of Vital Statistics
2. Newspaper Death Notice
3. Insurance Company Records
4. Social Security Records
5. Funeral Director
6. Veteran's Administration
7. Hospital Records
8. Institutional Records
9. Military Service Records
10. Public Assistance Record
11. Case Record and Burial Payment File
12. Lodge, Club, or Fraternal Organization Records
13. Union Life Insurance
14. Police Records

4. Deprivation - Incapacity

State policy pertaining to incapacity varies widely from state to state. For some states, the only acceptable determination of incapacity is certification by the State Medical Review Unit. In other States, a physician's statement suffices. States can require varying degrees of evidence to support a decision of incapacity.

a. Document or other record generally available from the client or case record

1. Disability Certification by State Medical Review Unit
2. Medical Examination Report
3. Receipt of Aid to Disabled, Blind Pension, or OASDI (Disability) Benefits
4. Medical Statement from Doctor, Hospital, or Clinic
5. Visual Observation of the Disability (when permitted under State plan)

b. Verification information from other sources

1. Medical Records or Disability Examination Report
2. Physician's Record
3. Hospital Records
4. Clinic Records

5. Bureau of Vocational Rehabilitation
6. Veteran's Administration Records
7. Rehabilitation Center Records
8. Office of Blind or Visually Handicapped Case Record
9. School Records
10. Voluntary Social Services Agencies, i.e., Speech and Hearing Clinics, etc.
11. Sheltered Workshop Records
12. Psychometric Tests
13. Psychological Tests and Records
14. Psychiatric Records
15. Associations for the Handicapped or Disabled, such as Muscular Dystrophy, Multiple Sclerosis, Heart Association, etc.

5. Deprivation - Continued Absence from the Home

In those situations in which the absent parent's whereabouts are known, contact with the absent parent to obtain evidence of absence from the home of the AFDC family is the recommended procedure. The absent parent will generally be able to establish his absence through documents such as rent receipts, driver's license, support payments receipts, etc.

When the absent parent's whereabouts are unknown, it will be necessary to verify absence through the best available source of verification. For example, if social security number is available, wage records can be checked with the State Employment Security Office Social Security Administration and with the records of the Internal Revenue Service for the address shown on the past tax returns filed by the absent parent. Through an accumulation of corroborating evidence the absence or presence of the parent can be determined.

a. Document or other record generally available from the client

1. Divorce Papers
2. Separation Papers
3. Military Record Papers or Induction Notice
4. Annulment Papers

b. Verification information from other sources

1. Contact with Absent Parent
2. Shelter Record of Absent Parent, e.g.: Lease, Rent Receipts, etc.
3. Court Records
4. Correctional Institutional Records
5. Social Security Clearance (SSA Form 1472)
6. Internal Revenue Service Records
7. Directories
8. Post Office Record of Address
9. Motor Vehicle Registration
10. Driver's License
11. Unemployment Compensation Records
12. Union Records
13. Lodge, Club, or Fraternal Organization Record
14. Law Enforcement Officials
15. Probation Office Records
16. Public Assistance Records
17. Voter Registration Records
18. Community Organizations, Block Clubs, etc.
19. Statements from Reputable Sources in the Community
20. Employment Security Office Records
21. Agency Support or Location Unit Records
22. Employer's Records
23. Telephone Directory

6. Deprivation--Unemployment [applicable in an AFDC-UP (Unemployed Parent) Program]

The unemployed status applies only to the father of the children. In most situations, the father will have some evidence to establish his unemployed status or will be able to give leads for direct follow-up.

a. Document or other record generally available from the client

1. Unemployment Compensation Payment (would only verify ineligibility for AFDC-UP)
2. Current Employment Registration Card
3. Company Lay-Off Notice
4. WIN Referral and Certification

b. Verification information from other sources

1. Unemployment Compensation Record
2. State Employment Security Office
3. WIN Unit Records
4. Employer's Records
5. State Employment Agency Records
6. Training Program Records
7. Union Records

7. Real Estate (Home and Other)

When the case record or the recipient's statement discloses ownership of property, the recipient will generally have in his possession documents to provide the verification required.

In those instances in which the recipient does not have documents or in which the client denies ownership, it will be necessary to go beyond the client's statement to establish the possession or non-possession of this resource.

Clearance for property ownership can be made through records of the county court house. When the tax assessor's office list of property owners is filed in alphabetical order, a routine clearance is relatively easy. In some jurisdictions, records are filed based on a legal description of the property.

a. Document or other record generally available from the client

1. Deed
2. Sales Agreement
3. Mortgage
4. Estate Data
5. Articles of Agreement
6. Real Estate Tax Receipts
7. School Tax Receipts
8. Income Tax Return

b. Verification information from other sources

1. Court House Records
2. Tax Records
3. Real Estate Tax Transfer Division
4. Title Search
5. Utility Company Records

6. Charge Account or Charge Account Application Records
7. Municipal Building Inspection Compliance Records
8. Municipal Fire Code Records

8. Life Insurance

When a client declares ownership of insurance, he generally will be able to present the policies for verification of the resource. The policies should be evaluated to determine if their value conforms to the State's requirements. If the value of the insurance policy is unable to be thus determined, the issuing company can furnish data as to the policy's cash surrender value.

In those instances in which the client denies ownership of insurance, a check can be made through local insurance agencies or brokers to establish the non-ownership of insurance. To make this exploration meaningful, care should be taken to evaluate which insurance companies might be a potential carrier for the client, (i.e., use of present and former insurance policies for auto, home, personal property and policies held by other family members, to furnish leads as to what brokers and companies to contact.)

a. Document or other record generally available from the client

1. Insurance Policies
2. Burial Reserve Agreements
3. Burial Agreements with Funeral Director

b. Verification information from other sources

1. Clearance with Insurance Company
2. Insurance Payment Book
3. Clearance with Insurance Agent
4. Employer's Insurance Record
5. Lodge, Club, or Fraternal Organization Records
6. Funeral Director
7. Relatives and Friends Holding Policies for Client
8. Union Records
9. Veteran's Administration Records
10. Credit Applications or Charge Account Applications

9. Savings, Cash, Investments, Etc.

When the client has declared owership of these resources he will generally have documents in his possession to establish ownership and value of the asset. The value of the asset in relationship to the review date must be determined. If the client does not have in his possession documents to establish ownership and value of the asset, this information can be obtained from the custodian of the funds or the investment organization.

For those situations in which the client denies ownership of these assets, a basis for a decision of non-ownership needs to be established. The client's past circumstances and present living standards should be evaluated to determine the possibility of these assets. Selectively one or more verifications of nearby neighborhood banks should be made to establish that the client does not have accounts at these institutions.

The client should be asked where he cashes his checks, or what banks or institutions were used for past transactions, or what source of financing was used for major purchases. Through a thorough and well-directed interview, leads can be obtained for verification sources to establish ownership or non-ownership of these resources.

10. Automobile Ownership

Some State plans require identification of ownership and evaluation of the value for motor vehicles. The primary verification for ownership is clearance with the State agency responsible for the registration of motor vehicles. This agency can establish whether the client owns a vehicle. In some States, this agency can also furnish evaluative data on the value of the vehicle. Information available is the purchase price of the vehicle, encumbrances against the vehicle, and the name of the organization financing the purchase. This information will aid in evaluating the effect of car ownership on eligibility.

The "blue book" of car valuations can also be used to establish the value of motor vehicles. Another source which can be used to establish valuations are car dealers who can give approximate valuation based on make, year, and model of the vehicle.

a. Document or other record generally available from the client

1. Bank Books
2. Stock Certificates
3. Bond Certificates
4. Mortgages
5. Notes
6. Securities
7. Credit
8. Savings and Loan Statements
9. Bank Statements
10. Car Title and Registration
11. Auto Financing Data

b. Verification information from other sources

1. Bank Records
2. Stock Brokers
3. Credit Union Records
4. Judgment and Lien Records
5. Savings and Loan Records
6. Credit Applications
7. Charge Account Applications
8. Credit Accounts
9. Motor Vehicle Registration

11. Disposal of Property

This element of eligibility considers the type of property (real or personal) the valuation of property, consideration received for the transfer of property, and time period of the transfer. Eligibility factors in regard to provisions covering property disposal vary among the States.

In those situations in which the client acknowledges that property was transferred, the client and the transferee will generally have some type of documentation to provide the necessary verification.

Courthouse records can be cleared to check on the transfer of real property. The Docket books are listed by both Grantor and Grantee in the index so that real property transfers can be checked utilizing either party to the transaction.

When the client advises that he has not transferred property within the time limits of the State regulations, there should be an evaluation of the client's circumstances, past and present, and a check of court transfer records to reach a basis for supporting a decision on disposal of property.

a. Document or other record generally available from the client

1. Transfer Papers
2. Deed
3. Mortgage
4. Articles of Agreement
5. Sales Agreement
6. Real or Personal Property Tax Statements
7. State and Federal Income Tax Statements
8. Cancelled Checks or Receipts for Payment

b. Verification information from other sources

1. Court Records
2. Real Estate Tax Stamps
3. Tax Records
4. Attorney's Records
5. Real Estate Agency or Broker
6. Stockbroker
7. Utility Company Records
8. Motor Vehicle Registration

12. Earnings

The primary verification for declared earnings is the employee's pay record of wages received from his employer (pay stubs, etc.). When the client has declared earnings but does not have verification available, this information can be obtained from the employer's records.

When the client states that he has no earnings, verification becomes more difficult. The investigation must go beyond the client's statement in order to reach a decision that the client has no earnings.

All active AFDC cases in the QC sample are required to be cleared by the State routinely through the wage record files of either the State Employment Security Office (contingent upon the availability of such records from these SES Offices), or the Social Security Administration in Baltimore which maintains those individual wage records for States which do not maintain their own. Although the information obtained from these wage record clearances are not always current, the information can provide leads for further investigation. When the employment clearance records do indicate past employment for the client, these employers should be contacted to verify the client's employment situation as of the review date.

a. Document or other record generally available from the client

   1. Pay Stubs
   2. Pay Envelope
   3. Employee's W-2 Form
   4. Wage Tax Receipts
   5. Income Tax Return-State and/or Federal
   6. Self-Employment-Bookkeeping Records of Client
   7. Sales and Expenditure Records

b. Verification information from other sources

   1. Employer's Wage Records
   2. State Form for Clearance of Earnings from Employment
   3. Statement from Client's Employer
   4. Employment Security Office
   5. Occupation Tax Agency
   6. Local Wage Tax Agency
   7. State Income Tax Bureau

13. OASDI and Other Pensions and Benefits

The primary verification for OASDI benefits is the Beneficiary Data Exchange (BENDEX) system, i.e., the automated communication system between State welfare agencies and SSA in Baltimore regarding social security benefits. SSA Form 1610 (Request for Information by State Public Assistance Agency) should be used when BENDEX information is not available, or when special circumstances warrant, a check directly with the Social Security District Offices to obtain OASDI benefit information is possible. These offices have microfilm records of payments to beneficiaries and the clearance may be made by social security number and/or name. The office will generally furnish a print-out of the benefit data.

A routine check for OASDI benefits should be made for all AFDC cases when the deprivation of parental support factor is death or incapacity.

Benefits other than OASDI, such as unemployment compensation, workmen's compensation, veteran's benefits, etc., can be cleared with the agency responsible for payment of the benefit. In most States there is an established verification procedure for checking these items. When the client states that he receives these benefits, clearance should be made to establish that the declared benefit amount is correct.

When the client states that he does not receive a benefit, an evaluation of this statement in terms of the client's background, past work history, and present circumstances is necessary. The use of skilled interviewing techniques can elicit relevant background information which can furnish leads as to the possible receipt of benefits. As an example, review of the client's employment record may indicate possible eligibility for a company retirement pension, past union membership could indicate possible benefits from that source, etc.

Veterans benefits should be verified through the Veteran's Administration for appropriate cases. When relevant, Railroad Retirement benefits can be cleared through the Railroad Retirement Board on that agency's forms, which must be signed by the beneficiary.

a. Document or other record generally available from the client

1. OASDI Award Letter
2. Benefit Payment Check
3. Unemployment Compensation Award Letter
4. Pension Award Notice
5. Veteran's Administration Award Notice
6. Correspondence on Benefits
7. Income Tax Record--State and Federal
8. Railroad Retirement Award Letter

b. Verification information form other sources

1. BENDEX System
2. Social Security (Form SSA-1610)
3. Social Security District Office Files
4. Bureau of Employment Security--Unemployment Compensation Section
5. Employer's Record
6. Union Records
7. Workmen's Compensation Records
8. Veteran's Administration
9. Lawyer's Records
10. Insurance Company Records
11. Lodge, Club, or Fraternal Organization Records
12. Personal or Income Tax Records
13. Railroad Retirement Board Records
14. United Mine Workers Union (Black Lung
15. Benefits)
15. Social Security Administration (Black Lung Benefits)

14. Support Payments and Contributions

Various degrees of legal liability for support exist among the States. There exists also the possibility of support payments or contributions being available on a voluntary basis without legal liability.

The primary source for verification for declared support payments and contributions is contact with the person making the contribution. When support payments or contributions are made through a third party. such as a court, probation office, etc., verification of the payment can be made through that agency. There needs to be awareness of the effect of timing and amount of payment in relationship to the review date.

When the client advises that support payments are not received and the whereabouts of the person liable for support is known, verification of such non-receipt by contact with the person liable for the support payments should be made.

In cases where the absent parent's address is not known, it will be likely that steps will have been taken to establish the location of the parent under the "Deprivation - absence" eligibility factor. If the absent parent is located through this process, availability of support payments as of the review date can be determined. In those situations in which the client states that the family receives no support payments, and the legally liable relative's whereabouts are known, there needs to be a record made of the leads pursued as basis for a decision that the client does not receive support payments.

a. Document or other record generally available from the client

1. Divorce or Separation Papers
2. Court Order
3. Contribution Check
4. Support Agreements
5. Correspondence on Support Payments

b. Verification information from other sources

1. Court Record
2. Probation Office Record
3. Statement of Person Making Contribution
4. Lawyer's Records
5. Cancelled Checks of Person Making Contribution
6. Receipts for Contribution
7. Income Tax Returns
8. Employer Records of Attached Wages

15. Other Income

This element covers all need-income not enumerated under its own individual income element. The principal items are income in kind, income derived from rental or lease or property or from property rights, money from friends on a regular basis, free shelter, and income from other sources.

The type of verifications necessary to reach a definitive conclusion will be conditioned by the type of resource available to the client. As "other income" covers all income not enumerated under individual elements, the client's situation should be evaluated to ascertain the possibility of an additional source of income.

When the client discloses income under this element, he will generally have documents or papers to identify the source and amount. Contact with the person making payments to the client, to verify the purpose and the amount of money paid, should be made.

Through a process of elimination, the posession or non-possession for most of these items can be established. For example, verification of client's shelter costs eliminates the possibility of free shelter, determination that the client does not own property eliminates rental income, lease rights, or income from property rights.

a. Document or other record generally available from the client

1. Rental Agreement or Lease
2. Receipts for Service Provided (income in kind)

b. Verification available form other sources

1. Rent Receipts of Tenant, Roomer, or Boarder
2. Statement of Person Providing Income, in Kind, Goods, or Financial Aid.
3. Receipts, Agreements, Leases of Person Paying Monies to Client under this element.

16. Basic Budgetary Allowances

The evaluation of this element is directly related to the individual State agency's method of establishing a need budget. The complexities of budgeting vary widely from State to State, precluding the possibility of establishing a single set of guidelines for verification.

In general, most States require the determination of need for the various budget components. In certain situations it is also necessary to establish the actual cost of each component of the assistance budget. The components most generally found in need budgets are: (1) food, (2) clothing (3) shelter, (4) utilities, and (5) incidentals. Allowances for such items will often vary by age, household composition, number of persons in assistance unit, etc. Standard amounts may be determined for allowance, or needs may be set on an actual cost basis, or there may be a combination of the two.

The need for and cost of items such as shelter and utilities are to be determined. There should be an awareness of the possibility of "need" items being supplied and their consideration as income in kind.

A basis for including each component "need" item in the budget must be established. In addition, for items on which actual cost may be a factor, the cost of the item must be verified. To illustrate: If the State plan permits payment of shelter cost up to a maximum allowance, the actual cost to determine the budget amount for shelter must be verified.

a. Document or other record generally available from the client

1. Rent Receipts
2. Lease
3. Tax Statements
4. Utility Bills
5. Water and Sewage Bills
6. Refuse Disposal Receipt
7. Home Insurance Policies
8. Mortgage Payment Receipts
9. Sales Agreement or Purchase Contract
10. Home Repair Bills
11. Room and Board Receipts

b. Verification from other sources

1. Contract with Landlord
2. Contract with Property Grantor
3. Real Estate Agent
4. Utility Companies
5. Tax Assessor
6. Property Records and Title Search
7. Court House Property Records
8. Municipal Taxing Authority
9. Records of Financial Institution Handling Property Transfer
10. Records of Public Housing Authority

17. Special Circumstances Allowance

The number and type of special circumstance allowances varies among the States.

When special allowances are included in the client's budget, verification of the need for the allowance is necessary. The actual cost of the special circumstance allowance is to be verified when special circumstances allowance is included in the budget on a cost basis.

a. Document or other record generally available from client

1. Special Diet Requests
2. Pregnancy Statement from Physician
3. Eviction or Relocation Notice
4. Physician or Druggist Statement of Need for Allowance

5. Legal Fee Statement
6. Employment Search Cost Statement
7. Car Payment Record
8. Institutional Statement of Special Needs
9. Transportation Cost Receipts
10. Receipts for Compensable Supplies or Services
11. Union Dues Receipt
12. Telephone Bill Receipt
13. Newspaper Payment Receipt

b. Verification from other sources

1. Statement of Vendor Supplying Goods or Services
2. Physician's Statement of Need for Allowance
3. Records of Hospital or Clinic
4. Statement of Institution or Agency Requesting or Supplying Services
5. Employment Search Costs Bureau of Employment Security or WIN
6. Prospective Employer's Statement on Cost to Consider or Accept Client for Employment

18. Proper Person Included in the Budget

It is necessary to establish that all persons in the budget are included in accordance with the State policy. Also, to be ascertained is whether there are persons in the household who are not included in the grant who should have been properly included as recipients.

As part of this element, the identity of the recipient and members of the recipient group need to be established to assure that the recipient group is receiving payment under the proper identity.

The main factors to be verified are identity and relationship of grantee group. The primary verification is the birth certificate and where appropriate a marriage license. Generally, these documents will establish both identity and relationship as a basis to determine proper inclusion in the grant group.

a. Document or other record generally available from client

1. Birth Certificate
2. Marriage License
3. Driver's License
4. Baptismal Certificate
5. Voter Registration Records
6. Immigration Papers
7. Credit or Charge Account Cards
8. Military Service Papers
9. Union Membership Card
10. Naturalization Papers
11. Alien Registration Card
12. Passport

b. Verification information from other sources

1. State Bureau of Vital Statistics
2. School Records
3. Church Records
4. Employer's Records
5. Labor Union Records
6. Hospital or Physician Records
7. Additional Verifications--listed under Age (Section 1 b)

19. Other--School Attendance

The primary verification for school attendance is clearance with the proper school authority that the child is attending school and fulfilling the State requirements for school attendance. This requirement will apply to both the age 18 to 21 group and to students under age 18 when the State plan requires that the child meet certain school standards to qualify for assistance payment.

This verification is made in conjunction with the clearance with school authorities to establish that the child is in fact living with the specified relative.

20. Other--WIN Programs

The primary verification for validating this eligibility element is clearance with the WIN program agency to ascertain for applicants or recipients required to register, that the client meets the compliance requirements of the WIN program. Clearance is necessary to establish that the client is registered or, if not, whether the conditions for exempt status are met.

SECTION VIII
Interviewing Techniques in Quality Control

INTERVIEWING TECHNIQUES IN QUALITY CONTROL

One of the most important areas of study in your preparation as a Federal QC Reviewer is that in the art of interviewing; consequently, not only is this section of the manual devoted to your acquisition of interviewing knowledge through the written word but it is also designed to aid you in preparing for interviewing through role playing. Interviewing is a process of communication and concepts upon which interviewing techniques are based are sufficiently generic to all levels of work experience and varying educational backgrounds to facilitate common understanding for those staff new to the QC system.

Both the materials presented by your instructor and the practice sessions with other trainees should acquaint you with the fundamentals of professional interviewing. Interviewing principles in Quality Control encourage Interviewers to use "common sense" and avoid purely "casework" procedures, for the Reviewer is on a "fact finding" mission. Nevertheless Reviewers should have some rudimentary self-understanding as to how personal biases and habits may affect the success of the interview. Exercises used by your instructor shall point up the different views each Reviewer in training may have on a given topic. For example, what images come to your mind when you hear the word "welfare?"

The structure of interviewing dictates that the interviewing process be organized in three phases: "Beginning, Middle, and End." The flow concept of the interview process is especially applicable to the QC interview which as a "fact finding" process must not render counselling or other special services. The very "Nature" of interviewing requires that the Reviewer magnify the concept that interviewing is a process in communication wherein the interviewer needs to know himself first and attempt to prevent any slight bias for or against the client or for or against the system from getting in the way of securing correct information.

For the interview to be a positive engagement between the interviewer and the interviewee, it is suggested here as elsewhere in this manual that the Reviewer be familiar with the State Plan, be clear about the review purpose and inspire the client to respond positively to the fact finding mission.

Definition of Interviewing--What is it?

Interviewing for our purposes is a process in communication which depends upon mutual acceptance. It is noted that in the interview-communication process we have a tendency to screen out what we hear according to our own personality needs. Therefore, the Quality Control interview must of necessity be based on mutual respect and a common understandable language.

Successful Quality Control interviewing is predicated on the Reviewer exhibiting a consistently supportive attitude for the QC Review program. Importantly, the Reviewer should honestly convey positive feelings toward the recipient who in this situation happens to be selected because his or her case situation is in the Quality Control sample.

Although we recognize four major types of interviews, (a) fact-finding, (b) collateral, (c) grievance, and (d) counselling; it is fact finding and collateral interviews that are integral elements of the QC Review process. Additionally interviews may be structured, unstructured and conducted in an agency or in a residence. Generally QC Reviews are conducted in the recipient's home. Collateral interviews are usually contacts beyond the recipient's immediate environment and may range from contacts with businesses, banks, and governmental structures to contacts with other professionals, relatives and even neighbors of the person whose case is being reviewed.

Since QC Review interviewing is fact-finding in purpose and not casework in nature, as a practicality, the recipient whose case has been selected for review is a "statistical sample" not a client who receives casework services during the actual QC Review. Thus, recognizing that every interview has a beginning, a middle, and an end, it is even more imperative that each of the three phases be inter-related and therefore the movement and progression be dependent upon what has transpired in the earlier phase. Each phase of the QC interview is a building block toward reaching the final product, a successfully conducted Quality Control Review.

Preparation for Interviewing

In preparation for the actual QC interview, available agency records and related data provide primary information. Discussions with the Federal Monitor serve as the most important factor in preparation. Appointments with recipients may be made either by telephone or by mail. Regional offices have their own policies as to the nature of the method employed in making appointments.

When telephoning the client, the Reviewer should be very clear as to his identity and role and explain candidly how and why the recipient was selected as "a sample." Even though the client will have participated in a recent QC review performed by State staff, anxiety or questions about the need for a Federal review may remain. Ideally the first telephone contact at least should be conducted in a fashion that allays the basic fears of the client and in turn creates a beginning positive receptivity for the conducting of the Federal Review.

Appointments may be madeby mail or telephone but in advance whenever possible, thereby giving the client the opportunity to be more adequately prepared for the Quality Control Review. Although hositility is always a possibility in any human interaction, previous experience has shown that most recipients try to be helpful to the QC Reviewer.

As a means of encouraging positive responses from the client during the review, we recommend that the interviewer begin with the less sensitive review factors such as "rent" and gradually work toward the more difficult factors requiring attention.

How to prepare for an interview:

a) Make an appointment in advance

b) Verify information and background data (understand the case!)

c) Know the agency program

d) Review only the cases in the sample

e) Know the eligibility factors to be discussed

f) Be familiar with the review documents

g) Arrange for privacy

Interviewing Factors

There are ten major factors to be considered in conducting a Quality Control Review Interview.

1. Set the interviewee at ease by showing proper identification, clarifying roles and purpose with a cursory discussion as to how the recipient was selected.

2. Listen carefully--listeners tend to believe that speakers are using words as the listener would use them.

3. Honor the role of silence--frequently an anxious person needs time during the interview to gather thoughts for a truthful and concise response.

4. Use understandable vocabulary. Quite often the words we use have differing meanings depending on cultural roots or other personal factors--colloquialisms for example. One cannot assume understanding of a word or a phrase--ask for clarification.

5. Avoid extraneous conversation unless it relieves tension.

6. Stress Confidentiality.

7. Reclarify role and purpose whenever necessary. If the recipient asks for help or suggestions in child care or non-related QC matters, show concern but suggest that the client discusses non-related QC matters with her/his caseworker. Make sure the recipient understands the difference between your function and that of the eligibility worker.

8. Use inherent authority comfortably, the authority vested in a Federal review does not convey "a threat."

9. Be positive! Even at times of stress during the interview.

10. "Know thyself." The interviewer should be able to ask of himself the following questions:

    a) How do you feel about different value systems, cultures?

    b) How do you react to:

        1) disorganized household

        2) physical abnormalities

        3) cultural variations (including language problems)

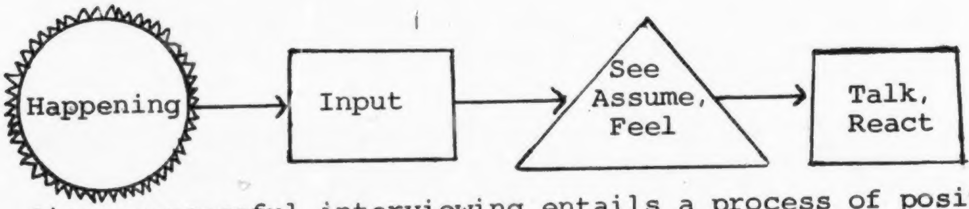
        4) hostility

        5) hyper-active children

        6) passivity

        7) using authority when necessary

The following interactive process takes place during an interview:



Since successful interviewing entails a process of positive interaction the Reviewer needs to be aware of the following factors that make up the middle phase of the QC interview:

1. Use courtesy titles such as "Mr. and Mrs."

2. Clarify when necessary

3. Summarize if necessary

4. Observe the body language of the interviewee-- Does the person display anxiety?

5. Recognize and be sensitive to cultural differences as they occur; for example, a misinterpretation of a question being asked either by you or the client.

6. Maintain your focus and purpose; attempts by the recipient to bring in other non-related factors should be redirected to the QC Review.

7. Ask questions clearly and not in a slanted manner such as "You aren't working are you?" In turn, answer questions succinctly.

8. Avoid generalities and make certain that you allocate the correct meaning to your words.

9. Avoid moralizing and beware of inferences.

10. Identify and deal with hostility early in the interview.

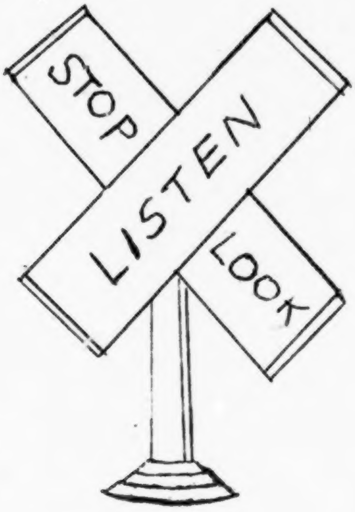
11. Be a good observer; do not lose sight of the individual and let the interviewee "do most of the work..."

During the major and central phase of the QC Interview, the Reviewer consciously needs to be aware of the success of the two way communication process and the following tips may prove helpful:

1. "Stop" and look at your own feelings and attitudes and how these relate to what is happening.

2. "Look" and observe the expression and manner in which questions are being answered and information is being shared by the client.

3. "Listen" to the subtleties that the recipient might be expressing.



In addition:

Avoid "telling the client what is right or wrong" and don't be saccharine during the exchange.

In ending the interview:

1. Ask for additional questions.
2. If need for a collateral contact exists, seek the client's consent but the client should understand that the collateral will be made even without the client's explicit consent.
3. Express your appreciation. Reviewers new to the QC System need to understand that the services of the QC Review rests in a large measure upon the attitudes the Reviewers convey about the program itself and their respective feelings toward people generally and welfare recipients specifically.

Because it is imperative that the final improvement in the management of public assistance depends to a large measure on what success you as a Reviewer have in the field, your mastery of interview techniques shall in turn contribute to that improvement. Knowledge of what facts to secure in the Quality Control Review process is necessary to the system, and skill in interviewing as one means of securing those facts is of paramount importance.

SECTION IX
Quality Control Worksheets and Sample Cases

QUALITY CONTROL WORKSHEETS
and SAMPLE CASES

This section of the Reviewer's Manual in the Federal Quality Control Review process is concerned with the practical applications, in the form of a review of worksheets, of the general theory and information thus far presented. Contained herein are the worksheets on "Elements of Eligibility and Payment Determination" (Form SRS-APA-341) and the "Quality Control - Federal Monitoring Schedule" (Form SRS-OQC-2). Both forms are used by the Monitor and by the Reviewer.

The document which immediately follows is an illustrative sample of a State Worksheet with symbols. It serves as a tool which provides a quick ready reference to factors of eligibility for the individual elements and manual references covering these provisions. As State policy is amended, changed, or revised this master worksheet will need to be updated.

In his role of determining whether the State quality control reviewer has done a thorough and complete investigation of the eligibility factors of the sample case, the Monitor must begin with the identification of the eligibility requirements in the approved State plan which are Federally matchable in the AFDC programs. They are usually numerous and listed in various parts of the State Manual. Regional monitors should have a master worksheet with the manual references listed in the column (3).

Once the Monitor has these references identified for the particular State, he then begins reading the sample case record, i.e., the eligibility case record from the local agency. He compares the information he finds in the case record with

1. the information listed in column (2) of the State quality control reviewer's worksheet to ensure that all documentation is listed and inconsistencies identified for further investigation.

2. he checks column (3) of the State quality control worksheet to see if the other necessary documentation has been obtained and the inconsistencies have been clarified.

   Next the Monitor evaluates the facts to determine if the Quality Control eviewer made the proper decision based on the State eligibility requirements. Illustrations of questions that the Monitor will have to consider are listed in column (2) of the sample master worksheet which follows.

SAMPLE CASES

To illustrate completion of the worksheet, two sample cases are included in this section of the manual:
1) Jane Smith Doe and 2) Martha Cleveland.

The training instructor will discuss these cases during the training process. This will enable the trainee to have practical application of the review process as conducted by the State QC reviewer. The instructor will cover the eligibility factors which apply to the individual cases. The adequacy of the field investigation and verification will be discussed in special sessions devoted to a step by step review of each element which needed to be verified. In this practice, the trainee will be able to follow the State QC review process and apply this background to the Federal monitoring process.

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Budget Bureau No. 83-R0148
Expires 9/30/73
Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)

Review No. ____________

FACE SHEET

1. LIVING ARRANGEMENT:

2. GUARDIAN OR LEGAL REPRESENTATIVE

Name ____________

Address ____________

5. IDENTIFYING INFORMATION

Client's name ____________

Address ____________

____

Telephone No. ____________

Agency & Case No. ____________

____

Reviewer ____________

Date of most recent opening ____________

____

tions to locate: ____________

____

information: ____________

____

____

____

____

3. MEMBERS OF THE HOUSEHOLD

	Name	Birthdate	Relationship or Significance	Social Security Number	*
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					

ELEMENT/DEFINITION/MANUAL CITATIONS

The principal measures of quality control are correct identification of relevant facts, correct methods of obtaining information, and correct application of agency policy to the facts obtained.

4. SIGNIFICANT PERSONS NOT IN HOUSEHOLD

	Name	Age	Relationship or Significance	Address
13.				
14.				
15.				
16.				
17.				
18.				
19.				

*Indicate "A" if person is in assistance group; "NA" if not in assistance group.

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)
Review No. ______

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD *(Pertinent facts, sources of verification, reliability, gaps or deficiencies)*	FINDINGS OF FIELD INVESTIGATION *(Facts obtained, verification and substantiation, nature of errors)*	RESULTS (Check col. 4 or col. 5 and/or 6) No Error	Error Agcy.	Error Client
(1)	(2)	(3)	(4)	(5)	(6)
R. Basic Program Requirements (a) Age	Is A/R within the age limit prescribed by the state; and was age considered in a manner prescribed by the state? ADC-Under 18, also 19-21 if requirements are met.	2119-Specific requirements-age 2120-age 2120. 11-age of children 2120. 12- ADC-UN 2120. 13-Unborn child included in grant for federal matching. 2121-Suggested sources of verification 2012. 12-Emancipated ADC 2144. 12-ADC 18-21 requirements			
(b) Institutional Status	Not Applicable for	AFDC			
(c) Disability – blindness	Not Applicable for	AFDC			
(d) Living with specified relative	A. Degree of relationship established. B. Is grantee relative within the degree specified by the state? Has relationship and living with been properly established.	2144.21-Degree of relationship required 2144.22-Relationship verification 2144.4-Requirements that child lives with grantee relative 2300.2 "The Assistance Unit" 2300.33-Payee in ADC 2300.34-Changes of payee in ADC			
(e) Deprivation of parental support	Has death or incapacity been properly considered? If continued absence, has absence and relationship of absent parent to child been considered? Has follow-up action been undertaken? IN ADC-UN has eligibility for federal matching been es-	2145-Establishing the basis of deprivation for ADC eligibility 2145.1-Death 2145.2-Incapacity 2145.3-Unemployment See EB 72-53A EB 72-37-Use of WBD Locate Unit EB 71-64-Definition of full time employment for ADC--UN			

	DEFINITIONS		MANUAL CITATIONS
		R(b)	2207-Requirements related to A/R in Congregate Care situations. See also EB 72-17. 2207.51-Clothing and personal incidental allowances See also EB 71-45A. EB 70-55-Level of Care Evaluation frequency. EB 71-83-Level of payment to CR. EB 72-35-Alternate Care for Adults EB 72-51-Homes for Aged Nursing Homes, Etc. EB 72-55 Non ICF Homes for the Aged.
		R(c)	2141.21-Effective Dates for Initial AB payments 2141.22-AB payments following improvement or restoration of sight. 2141-23-Payment for eye exams and medical care in AB EB 70-62-AD applicants must be referred for S.S. and other resources. EB 71-9-AD Interim out of state
R(e)	tablished? Is A/R registered with employment service?		2144.63-PWD Responsibility EB 71-65-Absent father's name for PWD 403B's. 2145.31-Unemployment not subject to federal matching. See EB 71-64. 2145.32-Unemployment subject to federal matching. See EB 71-64 2145.33-Cannot refuse employment without good cause. 2145.4-Continued Absence 2145.41-Separation, Desertion or abandonment. See EB 71-10 2145.42-Divorce 2145.45-NOLEO requirement for children deserted or abandoned. See EDTFB #9. 2145.43-Institutionalized parent 2145.44-Military Service

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. ______________

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error Agcy.	Error Client
(1)	(2)	(3)	(4)	(5)	(6)
5. Resources (a) Real Estate (home and other)	Does ownership meet agency's definition of a "home"? Was value of property properly considered? Occupancy?	2101-Item 2-definition of real property used as a home 2101.1-Item 10-Retention of income producing property 2101.2-Treatment of Excess Resources 2103.1-Real Property 2103.11-Continued property costs 2103.12-Treatment of real property when entering shelter care.			
(b) Life insurance	Has ownership or non-ownership of life insurance been considered? Has value been properly established and considered in relation to the states established limits?	2100.62-Item 2-Considered as a liquid asset 2103.41-Verification of value 2101-Item 8-Standards of allowable reserves 2103.51-Agreement (PA-403K) 2103.52-ORS4 13.035, other considerations 2103.6-Burial insurance			
(c) Medical insurance	Not Applicable for	AFDC			
(d) Savings, cash, investments, etc.	Include personal property other than insurance and household effects, or value be considered in determining eligibility. Notes receivable, investments, inheritance, etc.	2100.62-Partial List of Resources 2102-Accumulation of cash reserves 2101-Accumulation of allowable reserves. 2103.21-Fixed Assets 2103.31-Cash reserve policy, See 2101, item 3,7,8 2103.32-Income from investments			
(e) Disposal of property					

DEFINITIONS		MANUAL CITATIONS
	S(a)	2103.13-Ownership of real property 2128-Transfers of property 2128.21-Ownership and transfer of real property
	S(b)	2103.53-Premiuns paid by another person

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

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			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
T. Need – Income (a) Earnings	Has adequate consideration been given to appropraite sources of income from which earnings were derived? Consider expenses incident to employment, is correct amount shown in the budget?	2104.1-General statement on income EB 72-47-Allowable employment expenses 2144.65-A&B-Specifies of disregarded income. See EB 71-94 EB 72-47-Earnings of ADC children 2104.62-Verification of employment expenses 2105-Income from self-employment or business See EB 72-47 2106-Payments from lodgers.			
(b) OASDI and other pensions and benefits	Has adequate consideration been given to actual or potential eligibility for pensions, both public and private, and correct amount shown in the budget. Consider OASDI, UC, state compensation, retirement pensions, etc.	2111-OASDI 2112.1-VA Benefits 2112.32-Verification procedures 2113-Railroad retirement benefit 2113.3-Verification procedures 2114.11-Special income of Indians			
(c) Support payments and contributions	Have all relatives who are legally responsible had their ability to contribute established? Where support is paid or contributions are being made, is correct amount shown on budget? If support or contributions are appropriate but not in the correct amount, is prescribed action taken?	2109-Treatment of contributions 2109.6-Verification of contributions 2109.7-Names of legally responsible relatives 2110.1-Procedures for obtaining support from legally responsible relatives 2110.13- Referral to SPWD collection division EB 72-4A-Reporting Responsible Relatives			
(d) Other income	Relates to all income not previously mentioned. Possible income from other sources such as money from friends, free shelter, etc.	2103.74-Income from trust and guardianship estates 2107-Income from home produced foods. 2108-Income in kind 2109/2109.6-Treatment and verification of contributions 2118-Damages for personal injury.			
(e) Treatment of income	Excludable earned income such as economic opportunities Act, Relocation adjustment, etc.	2101, item 11-Relocation adjustments 2103.24-Conditional loans 2104.42-Treatment of income received under the economic opportunities act. EB 72-47-Excludable Earned Income			

	DEFINITIONS	MANUAL CITATIONS
T(a)		2106-Payments from lodgers 2145.46-Unrelated male as a lodger in an ADC household 2144.11-Need defined
T(b)		2114.2-Unemployment insurance 2114.24-Verification 2114.3 Compensation Department 2114.32-Motor Vehicle accident fund 2114.41-Veterans relief fund 2114.5-Armed services dependency allotments
T(c)	being taken? Have all responsible relatives been reported on 497C or proper notation made on 403R supplement? Have program changes, inter-county transfers, etc, been reported on 497D?	

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(1)	(2)	(3)	(4)	(5)	(6)
U. Need – Requirements (a) Basic budgetary allowance	Such as food, shelter, clothing, etc. Have all such standard items been included in the budget? Have costs where applicable, been established in a manner in conformity with policy? Has shelter need been determined. Payments from unrelated males in ADC grants.	2200-Standards of assistance 2001.3-Employment Allowances 2004-Shelter standards 2004.2-Shelter shared with or rented from relative. No payment to legally responsible relative with determined liability.			
(b) Income level for maintenance *(medically needy only)*					
(c) Special circumstance allowance	Have these needs been properly identified and considered in a manner prescribed? Examples: laundry, telephone, special diet, work and travel expenses, school allowances.	2104.62-Child care as an employment expense 2148.11-Determining need for special allowances 2202.1-Special Diets 2203.32-Work Project allowance 2003.5-Laundry expense 2302.6-Telephone allowance 2205-One time special needs. See 2190.22 also 2205.3-school allowance 2006-Transportation			
(d) Proper persons included in budget	Are proper persons included in budget of A/R according to state policy? Verify the identity.	2145.5-Step parent EB 72-6 also 2300.1-The Assistance Unit 2300.11-Household members with minimal income EB 71-92-ORS 411.630-Unlawfully obtaining P.A.			

DEFINITIONS		MANUAL CITATIONS
	U(a)	2300.42-Budgeting for shelter costs 2106.3-Unrelated persons ADC

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

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			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
V. Other (a) Arithmetical computation					
(b) Action based on withdrawal, loss of contact, etc. (negative actions only)	Not Applicable to review of active cases				
(c) – (explain below)	Employment registration Children over age 16 are attending school 15 day notice	EB 72-53 series-Talmadge Amendments - WIN. EB 72-53C 2961.2-Termination notice A2962.2-PWD 457A,B,C Closing Action			
	WIN-	EDTFB #25-Recoveries (Overpayments)			

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. ______________

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			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
Information given to client: *(medically needy only)* Notification of decision [Item K(b)]					
Information on program scope [Item K(c)]					
Information on obtaining care [Item K(d)]					

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Budget Bureau No. 83-R0148
Expires 9/30/73
Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)

Review No. ______

FACE SHEET

1. LIVING ARRANGEMENT:

Private Rental - Not Shared

2. GUARDIAN OR LEGAL REPRESENTATIVE

Name ______

Address ______

3. MEMBERS OF THE HOUSEHOLD

	Name	Birthdate	Relationship or Significance	Social Security Number	*
1.	Jane Smith Doe	2-5-44	Grantee	987-65-4321	A
2.	Mary Alice Doe	4-23-62	Daughter		A
3.	Thomas James Doe	10-12-63	Son		A
4.	Susan Ann Doe	2-8-67	Daughter		A
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					

5. IDENTIFYING INFORMATION

Client's name Mrs. Jane Doe

Address 250 Main Street
Garden City, Md.

Telephone No. 234-5678

Agency & Case No. ______

Reviewer J. Jones

Date of most recent opening 2/67

Directions to locate: ______

Other information: ______

R-1-73

4. SIGNIFICANT PERSONS NOT IN HOUSEHOLD

	Name	Age	Relationship or Significance	Address
13.	John Stuart Doe	30	Father #'s 2,3,4, husband #1	Unknown
14.				
15.				
16.				
17.				
18.				
19.				

*Indicate "A" if person is in assistance group; "NA" if not in assistance group.

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)
Review No. ______

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error Agcy.	Error Client
(1)	(2)	(3)	(4)	(5)	(6)
R. Basic Program Requirements (a) Age	Client's declaration for (PA-100) in the case folder reports 3 children: Mary Alice Doe born 4-23-62; Thomas James Doe born 10-12-63; and Susan Ann Doe born 2-8-67. Birth Certificate in record (xeroxed) Texas Bureau of Vital Statistics #1234-5 for Mary Alice Doe: D.O.B. 4-23-62 to John Stuart Doe and Jane Louise Smith*	On May 30, 73 reviewers visited client in her home. She reported the same birthdates for her children. She had in her possession a birth certificate from the Md. State Dept. of Vital Statistics (#45-678-9) dated 10-14-63; verifying the birth of Thomas James Doe on 10-12-63 at Baltimore, Md. to John S. Doe & Jane L. Smith. Client reported having no verification for*			
(b) Institutional Status	N/A	N/A			
(c) Disability – blindness	N/A	N/A			
(d) Living with specified relative	Client Declaration Form (PA-100) dated 2-19-73 reported client and 3 children sharing the same residence at 250 Main St Garden City, Maryland. A narrative entry dated 11-20-72, in the Social Service record indicates a Service Worker visited the home and saw the*	At home visit, 5-3-73, client reported children had resided at same address with her since 3/67. See R(a) 3 above for verification of relationship. Reviewer did see the children in the home with the client. On 5-31-73 reviewer contacted*			
(e) Deprivation of parental support	State Form (PA-200) "Eligibility Determination" dated 2-17-67 indicates deprivation due to continued absence. Client's latest declaration form indicates #13's whereabouts unknown.	On 5-30-73, client reported that John Stuart Doe is the children's father and that she does not know his whereabouts. She reported that he left her when Susan was born in 1967. She said she had no idea how he could be*			

*R(a) 2 cont'd: at Waco, TX birth registered 4-26-62.

No other birth documents in record.

*R(d) 2 cont'd: children in home on that date.

No other record of element verification.

*R(a) 3 cont'd: #4 (Susan), whom she said was born in San Francisco, Calif. on June 1, 1973, reviewer wrote California Division of Birth Statistics at Sacramento requesting verification. On June 11, no written verification received from Sacramento, reviewer telephone Mrs. Peggy Robertson (916) 333-2222 California State Dept. of Birth Statistics who verified that Susan Ann Doe was born 2-8-67 as reported by client; Certificate Registry #32-1967-1234. Parents, John Stuart Doe and Jane Louise Smith Doe. Verification of age documented in accordance with requirements of State policy Manual 1234.

*R(d) 3 cont'd: Mr. T.A. Johnson at Consolidated Grade School who verified per school records the residence of Mary and Thomas at 250 Main St. His records also showed in case of emergency Mrs. Doe should be contacted at 234-5678 (her residence phone number). The record was dated 9-19-73.
Reviewer contacted Mr. Johnson - Head Start Agency - a check of their records indicated Susan is enrolled in their program and living at 250 Main Street with mother.

Since all records do indicate that children live with client and none indicate otherwise, reviewer determines element verified in accordance with policy requirement Manual ref: 2345 for relationship, and 2350 for "living with."

*R(e) 3 cont'd: contacted, but, that she did believe his parents live in Annapolis, Maryland. Their names are Fred and Martha Doe. She said they came to visit their grandchildren a couple years previously. On 6-4-73 an appointment (456-7890) was made with the Doe's and they were visited at their residence (300 Commercial St.) They report that their son, John, lives at 1111 82nd Street in Baltimore and that he works at the Plaza Hotel. They were sure that he had no contact with his family, that in fact they had visited her at his request in 1971 because he was concerned about them. Reviewer contacted John Doe at home (765-4321). He agreed to meet during his lunch break 6-5-73 at the hotel. Mr. Doe reported that he had seen none of his family since she told him to leave after Susan was born. That he gaver her no support and was not even sure where she lived. Mr. Doe showed reviewer a current rent receipt and driver's license which both listed his address as 1111 82nd St., Baltimore, Md. Telephone directory lists phone (765-4321) at this address in Mr. Doe's name.

Reviewer determines that Deprivation due to continued absence of a parent is established per Manual Requirement 3456.

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

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(1)	(2)	(3)	(4)	(5)	(6)
S. Resources (a) Real Estate (home and other)	Client's declaration form indicates no property owned. Client does claim rent expense for residence. Records do indicate that client has maintained the same residence since her initial application in 3/67, continually claiming rent expense.	On 5-30-73, client denied owning or ever having owned any property. She said she and her husband always rented before he left. She said she had never inherited property, that her parents Mr. and Mrs. Matthew Smith (400 River St.) are still alive. On 5-31-73, reviewer verified through Mrs*			
(b) Life insurance	As above, at each redetermination client's declarations deny any life insurance.	On 5-3-73 said that she had no life insurance but that her parents do have $500 policies on her and each of the children. She said, however, however, that she pays the premiums but that the policies belong to her parents since they are the beneficiaries. She reported that the*			
(c) Medical insurance	Client's declaration form indicates no medical insurance. No other verification in case record.	On 5-30-73, client denied ever having any medi-insurance. When asked if she had coverage with her job, she denied having any job. She did report that in 6/72 #2 (Thomas) was hospitalized for a tonsilectomy. 5/31, reviewer checked*			
(d) Savings, cash, investments, etc.	Client's declaration form reports no savings accounts or investments. No record in case folder of any attempt to verify client's report.	On 5-30-73, client reported that she has a checking account with the First National Bank. She could find no statements, but did sign collateral consent release forms for all banks in the community. On 5-31-73, reviewer confirmed*			
(e) Disposal of property	No reference in case folder to property disposal.	Client denied ever having disposed of any property. Property checks S(a) above revealed no record of disposal. Client's statement accepted; no error per 4590.			

*S(c) 3 cont'd: Memorial Hospital Admission records and confirmed per Mrs. Parker (543-2109) that as of 6/72 no medical insurance had been reported. Payment for hospitalization made by State medical program. On 6-5-72, John Doe reported that he did not carry medical for his family. Reviewer determines no payment error per Manual Requirements 4572.

S(d) 3 cont'd: with Mrs. White at First National Bank that as of 5-1-73 client's balance was $82.65. The high balance for the previous 3 month's had been $183; low balance - $6.25. Total deposits since 1-2-72 $780. Mrs. White reported no other accounts with bank. On 6-1-73 reviewer verified with Farmer's National Bank and State Bank that client had no accounts. Per Manual Policy 4580, reviewer determines no payment error; client's account balance never exceeded grant therefore no cash reserve accumulated.

S(a) 3 cont'd: Wheeler at the Lincoln County Court House that no property assessment is made against Mrs. Doe in either her maiden or married names. Reviewer also checked county deed books (Grantor and Grantee) back to 1-1-65 and found no entry in either name. On 6-5-72, Mr. John Doe, reported that he and his wife had always rented and that he doubted that she could have acquired any property. Case meets eligibility requirements per Manual 4567.

S(b) 3 cont'd: policies are with the Universal County and that her agent is Mr. Ted Andrews. She denied having any other policies and signed the information release form.

On 5-31-72, reviewer contacted Mr. Andrews who reported that the policies were opened in March 68; that the client pays $5.20 monthly premiums; and that the accrued cash surrender value of the 4 policies as of May 1 would be $104. In accordance with State policy, since the client pays the premiums and has claim to their cash surrender value they belong to her rather than the beneficiaries. Mr. Andrews reported that the only other company having an agent working in Mrs. Doe's community is Mr. Harry Larson with the Eternal Insurance Company. Mr. Larson was contacted on 5-31-73 and reported having no policy with the Doe family.
Reviewer determines that the family's total cash surrender value for life insurance is $104 which is within the Manual maximum of $1,000. Manual 4570.

S continued

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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. ____________

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			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
T. Need – Income (a) Earnings	Client's declaration form in record reported no employment. Report from State Division of Employment Security (DES Form 200) shows no record of reported income against client's social security number 978-65-4321 as of the third quarter 1972.	On 5-30-73, the client denied having been employed since her grant was opened in Feb. '67. She showed reviewer her SS Card #987-65-4321 & reported that this is the only SS# she has. She reported that the only job she ever had was working as a clerk in a department*			
(b) OASDI and other pensions and benefits	Client's declaration form states none. No record of verification in folder.	On 5-30, client denied receiving any Social Security or other pensions. On 5-31, reviewer sent SSA Form 1610 to Garden City District Office for verification. On 6-6, 1610 returned - no record in client's*			
(c) Support payments and contributions	Declaration form indicates no support income. Social Service narrative in folder 8/72 entry) reports no support payments.	Client denied receiving any support payments. On 6-5-73, John Doe also denied paying client any support. Reviewer found no indication of additional resources, therefore, determines no pay error per manual requirement 5789.			
(d) Other income	None reported on client's declaration form.	Client denied any income except grant. She reported none of her needs were supplied and that she paid for all budgetable needs. No indicated resource found, reviewer attempted no further investigation. Grant correct for manual 5890.			
(e) Treatment of income	None reported to treat.	Reviewer determined no income to be treated.			

*T(a) 3 cont'd: store before her marriage. She does have a child in the home under school age. When asked about having any child care expense. she did say that she has none and that she and her neighbor will look out for each other's children when necessary (NOTE ALSO: She gave her own home number to the school as a contact point in case of emergency.) She was at home when the reviewer called for the home visit appointment, and indicated that she would be available at any time. Consequently it appears that she is seldom away from home as would be required for employment.

On 5-31, reviewer contacted Mrs. Robertson at County Department of Employment Service who verified that as of the fourth quarter '72 no earnings had been reported for Mrs. Doe's SS Number. She also checked that no reports were submitted on behalf of either Jane A. Doe or Jane A. Smith.

Also, Mrs. Doe's checking account balance for 1973 indicated no excess deposits above her reported income, (her grant). Therefore, the reviewer determines client has no earnings since none is reported; she appears to be available in the home at all times; and no evidence of excess resources was found. Eligible per Manual 5678.

*T(b) 3 cont'd: name or account number. Client has little work history; her husband is still employed and her parents are alive; therefore, reviewer determines no pension income. Payment correct per Manual 5684.

T continued

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			No Error	Error Agcy.	Error Client
(1)	(2)	(3)	(4)	(5)	(6)
U. Need – Requirements (a) Basic budgetary allowance	Budget Sheet shows grant four persons in household FCI- 204 Shelter- 74 Utilities- 19 Grant - 297	Rent receipt for review month seen by QC Reviewer - $80 per month. Receipt from Acne Real Estate Company - Gas and Electric Bills seen by QC to verify utility allowance FCI - standard for four manual chart.			
(b) Income level for maintenance *(medically needy only)*	N/A	N/A			
(c) Special circumstance allowance	No special circumstance allowance in payee's budget.	Mrs. Doe stated family has no need for any of the special circumstance allowance items. Special circumstance allowance item reviewed with client.			
(d) Proper persons included in budget	Household 4 assistance members in grant.	Neighbor - Mr. Barton - contacted with Mrs. Doe's consent - He verified 4 assistance members only occupants of apartment.			

U(d) 3 cont'd: Mrs. Doe presented Maryland Driver license as proof of identify.
Identity for children
Mary - birth certificate 1234-5
Thomas - birth certificate 45-678-9
Susan - birth certificate 32-1967-1234

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			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
V. Other (a) Arithmetical computation	See V(a) 3 204 74 19 297	Arithmetic is correct. No ratable reductions, no percentage reductions.			[redacted]
(b) Action based on withdrawal, loss of contact, etc. (negative actions only)					
(c) – (explain below)					

Department of Health, Education, and Welfare
Social Rehabilitation Service
Assistance Payments Administration

Budget Bureau No. 83-R0148
Expires 9/30/72
Worksheet for --
Form SRS-APA-341 (Rev. 5/71)
Review No. 1234

FACE SHEET

1. LIVING ARRANGEMENT:

Rented Apartment (4 rooms)
$98.00 per month

2. GUARDIAN OR LEGAL REPRESENTATIVE

Name
Address

3. MEMBERS OF THE HOUSEHOLD

	Name	Birthdate	Relationship or Significance	Social Security Number	*
1.	Cleveland, Martha		Grantee	232-23-2322	A
2.	" , John	6/13/66	S #1&13	-	A
3.	" , Dell	11/21/68	S #1&13	-	A
4.	" , Kevin	3/7/70	S #1&13	-	A
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					

5. IDENTIFYING INFORMATION

Client's name Cleveland, Martha
Address 99 Z Street, Homeville
Telephone No. 739-4000
Agency & Case No. H2100-33
Reviewer WEBSTER
Date of most recent opening 5/10/72
Directions to locate:
Other information:

Review Date: 4/18/73

4. SIGNIFICANT PERSONS NOT IN HOUSEHOLD

	Name	Age	Relationship or Significance	Address
13.	Cleveland, George	42	Father #'s 2, 3, & 4	State Alcholic Center, Boozeman
14.				
15.				
16.				
17.				
18.				
19.				

*Indicate "A" if person is in assistance group; "NA" if not in assistance group.

Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Worksheet for --
Form SRS-APA-341 (Rev. 5/71)
Review No. 1234

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6) No Error	Error Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
R. Basic Program Requirements (a) Age	Record lists Smith County BC,s: John 6/13/66 #Z240 Dell 11/21/68 #A137A Kevin 3/3/70 #H329A	QC saw BC's during home visit as listed in case record. All BC's show parents as George and Martha Cleveland. All children born in St. Dunstan's Hospital, Homeville.			
(b) Institutional Status	N/A	N/A			
(c) Disability – blindness	N/A	N/A			
(d) Living with specified relative	PA 100 form dated 5/10/72 shows Mrs. C. and John, Dell, Kevin all living at 99 Z St. Homeville.	BC's show client as mother of John, Dell and Kevin. Homeville Grade School records show John Cleveland living with client at 99 Z St.. QC phoned landlord, Mr. Tight who said he thinks only two (see above)			
(e) Deprivation of parental support	PA100 form dated 5/10/72 shows Mr. C. in state alcholic center in Boozeman.	QC phoned D. Martin Treatment Center, Boozeman. Mrs. Clerk verified that Mr. C. was admitted October 1972 and has been a continuous resident since then.			

R (d) children have been living with with Mrs. C. Mrs.C admitted to QC that her son John has been living with her mother since October 1972.

R. (e) Mrs. Clerk has forwarded official form showing Mr. C.'s residence there.

Form APA-341
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ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 1234

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
S. Resources (a) Real Estate (home and other)	PA 100 form shows no real estate owned by client.	Client claims no property owned. Smith County tax and deed records show no real estate owned by Mr. or Mrs. C.. Landlord said Mr. and Mrs. C. moved to Homeville from Far County. QC checked Smith County tax and deed records.			
(b) Life insurance	PA 100 shows Presidential of Omaha policy ZZ107289143 covering Mr. and Mrs. C. and three children. Face value $10,000; CSV (10/72) $32.81	Client showed policy to QC. QC determined CSV as of 4/19/73 to be $34.17. Policy issued 9/12/69. Premiums $11.50 per month.			
(c) Medical insurance	PA 100 shows no medical insurance. St. Dunstan's hospital report 12/12/72 shows Mrs. C.. treated for broken finger. Paid by Medicaid.	Mrs. C. claims no medical insurance QC notes Mr. C. has not been employed for 2 years and so no company plan could exist. Hospital payment record indicates no medical insurance.			
(d) Savings, cash, investments, etc.	PA 100 shows no savings or other assets.	Client claims she has no bank accounts, no credit union accounts. She said both her parents are alive and so there is little likelihood of insurance or inheritance.payments. QC visited Sum Total Collateral National, and Investigatory			
(e) Disposal of property	PA 100 shows no property sold by client within last ten years.	Client claims she has never owned property Smith County records show no transfers in client's or husband's name during the last two years.			

S (d) Fiduciary Trust and found no accounts listed for either Mr. or Mrs. C.

Form APA-341
Work Sheet
(Rev. 5/71)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 1234

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
T. Need – Income (a) Earnings	PA 100 shows no income. Client told worker she worked for Johnson's store during August 1970.	Client claims no earnings. **Says** she has not worked in 3 years. Employment Security Office records show no work for Mrs. C. Johnson's store manager (291-1918) said Mrs. C. has not worked there since 1970.			
(b) OASDI and other pensions and benefits	PA 100 shows no OASDI or other benefits being paid.	QC phoned SSA office in General City. They have no record of a claim for benefits by Mr. or Mrs. C. BENDEX check shows none. QC sees no basis for OASDI or VA benefits.			
(c) Support payments and contributions	PA 100 shows no support payment from Mr. C.	Client told QC Mr. C. does not contribute to the family. Mrs. Clerk at state alcholic center confirmed that Mr. C. has no income.			
(d) Other income	Record shows no income.	QC found no property which chient could rent. Client's rent is paid by according to landlord.			
(e) Treatment of income	Record shows no income.	QC found no income to treat.			

Form APA-341
Work Sheet
(Rev. 5/71)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 1234

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION (1)	QC ANALYSIS OF CASE RECORD (*Pertinent facts, sources of verification, reliability, gaps or deficiencies*) (2)	FINDINGS OF FIELD INVESTIGATION (*Facts obtained, verification and substantiation, nature of errors*) (3)	RESULTS (*Check col. 4 or col. 5 and/or 6*) No Error (4)	Error Agcy. (5)	Error Client (6)
U. Need – Requirements (a) Basic budgetary allowance	Grant is: $250.00 - 4 persons needs 50.00 - shelter 4 persons 15.00 - diet $315.00	QC determined that only 2 children have been living in home. Grant should be: $200.00 - 3 persons needs 40.00 - shelter 3 persons. - -- - diet 240.00 - grant Landlord says rent has been $98/mo since 12/72.			
(b) Income level for maintenance *(medically needy only)*	N/A	N/A			
(c) Special circumstance allowance	Grant shows allowance for low salt diet. $15.00	QC phoned Dr. Welby who said that Mrs. C. has not needed the low salt diet since November 1972.			
(d) Proper persons included in budget	Grant shows Mrs. C. and three children.	QC determined that son John has been living with his grandmother. Only 2 children and Mrs.C. should be in grant. QC saw Mrs. C.'s driver's license which identifies her as correct grantee.			

Form APA-341
Work Sheet
(Rev. 5/71)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 1234

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD *(Pertinent facts, sources of verification, reliability, gaps or deficiencies)*	FINDINGS OF FIELD INVESTIGATION *(Facts obtained, verification and substantiation, nature of errors)*	RESULTS *(Check col. 4 or col. 5 and/or 6)*		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
V. Other (a) Arithmetical computation	Grant adds up correctly	QC determined addition to be correct.			▨
(b) Action based on withdrawal, loss of contact, etc. (negative actions only)	N/A	N/A			
(c) – (explain below)	N/A	N/A			

QC MONITORING SCHEDULE

The "Quality Control-Federal Monitoring Schedule" is a special form used both by the Federal Monitor and the Federal Reviewers to capture elements that assess the adequacy of the State's quality control review of a case. It is the Monitor who prepares the form after a careful examination of the State review file and the client case record. He compares his re-review findings with those of the State quality control review and records his conclusion on the Federal Monitoring Schedule.

The Federal Field Reviewer's role becomes active in working with the Federal Monitoring Schedule when he receives this form and notes certain comments by the Monitor which concern elements that require clearance. Based on his initial desk review of the case, the Monitor has described, to the extent he possibly can, the sources and procedures for obtaining information. These will greatly aid the Reviewer in seeking verification, but as has been noted in Chapter VI of this manual, once in the field the Reviewer may find these notations highly useful or may have to use his own discretion and ingenuity to verify information if suggestions from the Monitor are not applicable for a particular situation. For the Reviewer the most important part of the Federal Monitoring Schedule is section V which he must complete through interview with clients and/or collateral contacts or through examination of special documents.

The next pages contain instructions to complete Form SRS-OQC-2. Immediately following is a completed schedule which illustrates the manner in which elements of one sample case were verified. The trainee will find it beneficial to his learning experience to compare each element and instructions with the responses and decisions of a Field Reviewer.

INSTRUCTIONS FOR FORM SRS-OQC-2

FEDERAL MONITORING SCHEDULE

NOTE: This Schedule is to be completed by the Federal monitor except for Section V which is to be completed by the Federal field reviewer. A Federal Monitoring Schedule is to be completed for each AFDC case selected in the Federal monitoring sample. Except for those that were listed in error in the State listing, all Federal subsample cases, including cases for which a review had not been completed by the State, are included in the Federal review. The monitor will base his initial desk review on the Quality Control Review Schedule (Form SRS-APA-341), the accompanying worksheets and the case record. A duplicate copy of the State Review Schedule and QC worksheets are to be obtained and attached to this monitoring schedule.

I. Identifying and Control Information

Based on the State's Quality Control Review Schedule for the case, enter in the spaces provided the State, county, case name and address, case number, State review date, review number and completion date. Enter the Federal review number of each sample case selected and the name of the Federal monitor and the field reviewer(s) to whom the case is (or will be) assigned for field investigation.

Also enter in this section of the Schedule in the proper spaces the following control dates: date the case was selected for Federal re-review, date of monitor's initial desk review, date the case was assigned to a field reviewer, date the Schedule was returned to the monitor by the field reviewer, and date the re-review was completed and a decision made by the monitor regarding concurrence or non-concurrence with State findings.

II. Comparison with State Findings and Review Decision

A. Comparison with State Findings:

State column

Entries in the column under the heading State will be based on the information contained in the Quality Control Review Schedule (Form SRS-APA-341) prepared by the State for the case.

1. Eligibility according to State plan:

   a. Eligible case.-Check(✓) this item in the State column if code 1, 3, 4, or 5 is circled in item I on State Quality Control Review Schedule.

b. Ineligible case.-Check this item if code 2 is circled in item I on the State Quality Control Review Schedule. (Code 4 should also have been circled for item J(a) on the Review Schedule by the State reviewer.)

2. Money payment:

a. Amount of payment.-Enter the dollar amount shown in code boxes for columns 22-25 in item J(a) on State Quality Control Review Schedule.

b. Amount is --

(1) Correct.-Check this item if code 1 is circled for item J(b) on State Quality Control Schedule.

(2) Incorrect - overpayment.-Check this item if code 2 is circled for item J(c) on State Quality Control Review Schedule.

(3) Incorrect - underpayment.-Check this item if code 3 is circled for item J(d) on State Quality Control Review Schedule.

c. Amount of over- or underpayment.-Enter the dollar amount shown in code boxes for columns 27-30 in item J(f) on State Quality Control Review Schedule.

3. Primary cause and type of error:

This item is to be completed only if the State quality control review determined that the case was totally ineligible or received an incorrect payment.

a. Element in error.-Enter the appropriate letters for the element in error checked in Section III, items R thru V, of the State Quality Control Review Schedule.

b. Type of error:

(1) Agency error.-If the element in error on the State Quality Control Review Schedule is coded 1, 2, 3, or 4 in the code column under Agency, enter the same number for this item.

(2) Client error.-If the element in error on the State Quality Control Review Schedule is coded 5 or 6 in the code column under Client, enter the same number for this item.

Federal column

Entries in the second column under the heading Federal will be based on the results of the field review. If the field reviewer finds no change in the eligibility or payment status of the case, entries will be the same as in the State column; if the field reviewer finds a change in the status of the case, enter the new findings in this column.

B. Review Decision (Cases): If the entries in the State and Federal columns in item A above are the same (i.e., no difference exists between State and Federal findings), check the box Concurrence with State. If, in the State column item 1a (eligible case) was checked and, in the Federal column, item 1b (ineligible case) was checked, check the box Eligibility under Non-concurrence. If a comparison of State and Federal columns in item A above shows a difference in either items 2b(2), 2b(3), or 2c check the box Payment under Non-concurrence.

III. Elements Requiring Clearance and Deficiency Code

Entries in this section will be based on the initial desk review of the case.

Column 1.-Elements Requiring Clearance.-Check in this column the elements that require re-investigation and review.

Column 2.-Deficiency Code.-Enter one or more of the following code letters for the elements of eligibility requiring clearance to indicate the type(s) of error(s) made by the State in the review of the case. (The codes are also included on the monitoring schedule as a footnote to this Section.)

Inadequate case record analysis.......	code A
Inadequate recording..................	code B
Inadequate verification...............	code C
Misapplication of policy..............	code D
Computation error.....................	code E
Other.................................	code F

IV. Monitor's Comments Concerning Elements Requiring Clearance

Based on the initial desk review of the case, describe, to the extent possible, the sources and procedures for obtaining information as an aid to the field reviewer. The instructions must be specific since the field reviewer will have only the Federal Monitoring Schedule and the State's Quality Control Review Schedule and worksheets for the case.

V. Field Reviewer's Findings and Comments

This section will be completed by the field reviewer. He will interview clients and/or collateral contacts and examine public and other documents to validate information on the case (as of the State review date) as instructed by the monitor in Section IV. Document findings for each element requiring clearance and enter any new or additional information which may affect the eligibility or payment status of the case as of the State's review date.

After the field review has been completed, indicate in the proper box at the top of this section whether or not the field review included personal contact with the client.

DEPARTMENT OF HEALTH, EDUCATION & WELFARE
Social and Rehabilitation Service

QUALITY CONTROL – FEDERAL MONITORING SCHEDULE

I. Identifying and Control Information

State: Any state

County: Jinx

Case Name: Josephine Smith

Case Number: FA-29-87-13

Address: 103 - 19th Street
LaMonte

State Review Date: 4/28/73

State Review Number: 5678

Federal Review Number:

State Completion Date: 5/10/73

Monitor: Mary Monitor

Field Reviewer: John Fielder

Control Dates
- Case Selected: 5/15/73
- Initial Desk Review: 5/15/73
- Assigned to Field Reviewer: 5/16/73
- Returned by Field Reviewer: 5/23/73
- Review Completed: 5/25/73

II. Comparison with State Findings and Review Decision

A. Comparison with State Findings:

	State [1]	Federal [2]
1. Eligibility according to State plan:		
a. Eligible case		x
b. Ineligible case	x	
2. Money payment:		
a. Amount of payment	$ 370.00	$ 370.00
b. Amount is –		
(1) Correct		
(2) Incorrect – overpayment		x
(3) Incorrect – underpayment		
c. Amount of over- or underpayment	$	$ 20.00
3. Primary cause and type of error:		
a. Element in error *(use letters on QC Schedule to identify; e.g., T(a) for earnings)*		T-d and U-a
b. Type of error		
(1) Agency error *(use code 1, 2, 3 or 4 on QC Schedule)*		
(2) Client error *(use code 5 or 6 on QC Schedule)*		

B. Review Decision (Cases):

☐ Concurrence with State

Non-concurrence:

☒ Eligibility ☐ Payment

---

[1] Complete before field investigation.
[2] Complete after field investigation.

Form SRS–OQC–2
(5/73)

RCN–SRS–OQC–001
Expires 5/76

III. Elements Requiring Clearance and Deficiency Code

Program Area and Element *	Elements Requiring Clearance	Code [1]
R. Basic program requirements		
(a). Age		
(d). Living with specified relative	x	C
(e). Deprivation		
Death		
Incapacity		
Continued absence	x	C
Unemployment		
S. Resources		
(a). Real estate *(home and other)*		
(b). Life insurance		
(d). Savings, cash, investments, etc.		
(e). Disposal of property		
T. Need – Income		
(a). Earnings		
(b). OASDI and other pensions and benefits		
(c). Support payments and contributions		
(d). Other income		
(e). Treatment of income		
U. Need – Requirements		
(a). Basic budgetary allowance		D
(c). Special circumstance allowance		
(d). Proper persons included in budget		
V. Other		
(a). Arithmetical computation		
(c). Other – *(explain)* ______________________		

---

[1] The monitor will enter one or more of the following code letters for the elements requiring clearance to indicate the type(s) of error(s) made by the State agency in the review of the case.

Inadequate case record analysis	code A
Inadequate recording	code B
Inadequate verification	code C
Misapplication of policy	code D
Computation error	code E
Other	code F

* Program areas and elements are lettered the same as on QC Schedule.

IV. Monitor's Comments Concerning Elements Requiring Clearance

R-d Living with Specified Relative

State QC failed to conclusively document children living with Mrs. Smith as of review date April 1, 1973. LaMonte Elementary School records were seen showing children living at 103 - 19th Street, LaMonte, but dates were not recorded. Secure proofs necessary to prove living arrangements as of April 1, 1973. Suggest checking school records again for dates or asking client how presence can be proved.

R-e Deprivation

State QC accepted circumstantial evidence pointing to the possibility of Mr. Smith's presence in the home as of the review date and found Mrs. Smith totally ineligible for AFDC. State QC, however, failed to reconcile evidence with Mrs. Smith's statement that Mr. Smith is absent. Discuss the discrepancy with Mr. and Mrs. Smith and attempt to secure documentary evidence to support Mrs. Smith's statement in the event she continues to deny the presence of Mr. Smith in the home.

V. Field Reviewer's Findings and Comments

Field investigation included personal contact with client: ☐ Yes ☐ No

Element (Use letters)	Findings and Comments
R-d	Living with Specified Relative
	On May 17, 1973 Field Reviewer contacted Miss Helen Jones, Records Clerk at LaMonte Elementary School. She checked the daily attendance records for each of the children. All of the children were shown to have been in daily attendance for the entire month of April 1973 with the exception of Ambrose who was shown to have missed 3 days due to illness. Addresses of all children were shown to be 103 - 19th Street, LaMonte.
R-e	Deprivation
	On May 18, 1973 Field Reviewer met with Mrs. Smith at her home at 103 - 19th Street, LaMonte. The evidence supporting the contention that Mr. Smith was living at home was discussed with her. Mrs. Smith acknowledged that all of the evidence was probably factual and she could understand why the State QC Reviewer might have assumed that she and Mr. Smith were living together. Mrs. Smith explained that she and her husband had been divorced in July 1972. She said that their differences were so great she did not see how they could ever get together. He was unable to hold a job and he had started to drink

heavily. On occasion he abused both her and the children. At the same time she still loved him and only filed for the divorce to protect the children. At Thanksgiving time his parents invited her and the children to dinner. One thing led to another and Mrs. Smith said she consented to attempt a reconciliation if her husband demonstrated he could hold a job and be a good father. Shortly after he got a job in LaMonte and suggested that Mrs. Smith and the children move to LaMonte. She was reluctant but thought there was a possibility they could get together. Mr. Smith made arrangements for a house and represented himself as living with the family. Since that time he has been a frequent visitor in the home but Mrs. Smith does not consider this a reconciliation. Because of the many obligations entailed in the divorce, Mr. Smith has been unable to contribute to the support of the family except for the occasional gifts. Mrs. Smith is still not sure that a reconciliation is possible although she would like to for the children's sake.

On the same day Reviewer met with Mr. Smith at his place of employment, the Clean Cut Lumber Company. For the most part he corroborated Mrs. Smith's account. He accused her of mismanagement. She continually demanded more than he could earn. He doesn't see how a reconciliation is possible even though he has told his parents that they are together. He said he has a room at 1025 Main Street. He acknowledged the fact he has not contributed anything to the support of his family because all of his earnings have had to go to finance companies to avoid garnishment.

Reviewer telephoned Mr. Joe Richman, Manager of the Sunny View Apartments at 1025 Main Street, phone 678-5431. He said Mr. Smith had paid rent on apartment since December 1, 1972.

Monitor's Assessment

Based on Field Reviewer's assessment and documentation, the Federal Re-review found Mr. Smith to be out of the home and not supporting as of the review date. The State QC review, therefore erred in finding the case totally ineligible.

It was noted, however, that the State QC failed to test the amount of the budget. According to the State plan, the maximum payment of a 5-person household living in rented housing is $350.00. A $20.00 overpayment should have been cited by the State QC.

SECTION X
Summary Suggestions

SUMMARY SUGGESTIONS

The major focus of this manual has been upon factors in the Federal review process which pertain to such content as management in Quality Control, the historical background of the Quality Control System, the operation of the system, the State plan as well as the State QC Review, and elements in the full field investigation. Throughout the manual the Federal Reviewer has received directions and suggestions regarding his role and the accomplishments expected in undertaking that role. It is important, however, that the Federal Reviewer recognize that certain concomitant learnings are parallel to the "textbook" material which has been presented. Consequently, the following areas are essential to a successful review.

PROFESSIONAL ETHICS

The success or failure of the Quality Control system rests to a large extent on the competence of the Field Reviewer. It is imperative not only that the data he collects be accurate and complete but also that it be secured in a manner compatible with professional ethics and with due regard for the rights and dignity of the client. Any activity that is demeaning to either the Reviewer or the client is destructive to the total administrative process and consciously must be avoided.

Professional discipline is required of the Quality Control Field Reviewer. He needs to be able to use sound interviewing techniques as outlined in this manual in order to document the client's right to financial assistance. At the same time he is to avoid counseling the client while enlisting his cooperation in securing the necessary data. The Quality Control Field Reviewer must be cognizant of and ever aware of professional ethics regarding his position as well as facilitating factors to carry out his duties:

1. Be prepared to meet clients at a time and place convenient to them. Many welfare recipients are employed and it is unfair to ask them to take time off from work for the convenience of the Field Reviewer. Sometimes this means making appointments after the client's regular working hours.

2. Avoid unnecessary risks. In some neighborhoods it is unwise to make visits after dark. Try to make plans to meet clients at times and places where both client and Reviewer can be relaxed and comfortable.

3. Respect the feelings of clients. Sometimes for personal reasons clients prefer that Reviewers not contact landlords or employers. They may fear that the QC review will jeopardize their jobs or relationship with friends. There are usually other ways to secure necessary documentation. Ask the clients how they would prefer that verification be obtained.

4. Avoid compromising your position. Graciously accept (or decline) courtsey refreshments, such as coffee, but firmly decline all gifts or favors.

5. Be honest with clients. Under no circumstances should QC Reviewers leave the impression that their findings will not affect the welfare payment. At the same time clients need to be told their names were selected randomly and that there is no reason to doubt their right to their welfare payments unless questions are raised in the course of the review.

6. In the case of non-English speaking clients, it is advisable to get an interpreter, or even better to have a Reviewer who speaks the language of the client to actually conduct the review. There are nuances imbedded in cultural differences that only a native speaker or someone who has specialized in studying the particular language would be able to pick up.

7. Avoid interpreting program or expressing opinions concerning the correctness of policy interpretation. Refer clients back to their local agency responsible for eligibility determination.

8. Be prepared for the "Frequently Asked Questions" listed in the Appendix. You have to know why you are there. Once you really know and believe in the system, your answers will easily come

forth. Role playing in your training sessions can aid you immeasurably in preparing for questions from the client or collateral sources.

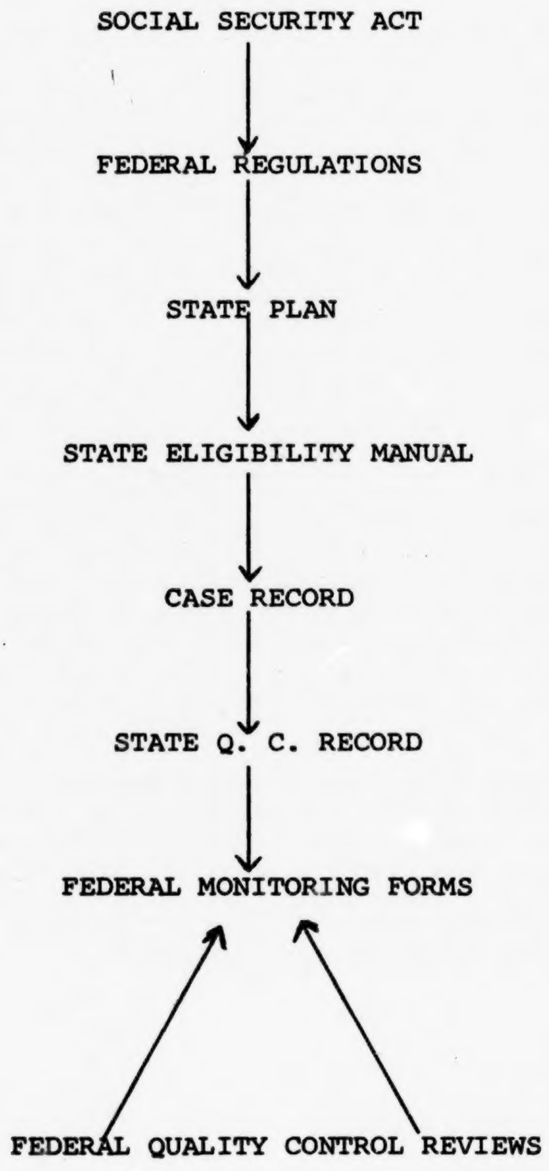
LEGAL BASIS FOR FEDERAL QUALITY CONTROL MONITORING

A question frequently raised by the new Reviewer involves the legal basis for Federal monitoring. Federal regulations stipulate that State plans provide for a Quality Control system, which meets Federal specifications. The Federal Register, April 6, 1973, details these requirements. In addition, the Federal Register Vol. 30-N066, Section 205.40 (5) reads as follows: "Assure access by Federal staff to State and local records, recipients, and third parties". This section is one of the authorizations for Federal personnel to conduct monitoring of the State QC system.

The Social Security Act mandates the right of the Secretary to conduct studies and reviews required to assure the "proper and efficient administration" of the public assistance program. The "grants to States section" of the act also specifies the right to conduct audits and studies of the States' public assistance program. The act also specifies that States will provide the reports necessary to assure compliance with the act's requirements. The Secretary has the right to take the necessary steps to insure the accuracy of these reports.

The legal basis for Federal monitoring is clearly specified in the Social Security Act and the Code of Federal Regulations. The chart on the following page outlines the steps leading to the Federal Monitoring procedure. Therefore, you as a new Reviewer can be assured that there is a sound written basis for your role and function as a Reviewer.

STEPS LEADING TO THE FEDERAL MONITORING PROCEDURE



APPENDIX

A. Frequently Asked Questions
B. Abbreviations
C. Exercises

APPENDIX A

FREQUENTLY ASKED QUESTIONS

The following questions are aimed at developing awareness of the purpose of the QC Review Process. You must know why and how you would have to answer these questions at a client's home, or when contacting collaterals and/or friends. Once you are thoroughly familiar with the Review process, your answers will come out right.

Clients:

1. What is Quality Control?
2. Why was my name selected instead of the person I know who is cheating?
3. Is anyone else selected for investigation by Quality Control?
4. I am tired of being investigated. Why was my name selected for re-review?
5. Will you take money away from me or can you make them give me more money?
6. I told you the truth. Why don't you believe me?
7. I know someone who is cheating. Why don't you investigate her?
8. Are you my new worker?
9. I wish you were my worker. I can talk to you. You seem to understand me. Can I call you if I need help?
10. I need help getting school clothes for my children. My worker won't listen to me. Will you help me?
11. Can you make my worker (technician) give me more money?
12. I gave all my papers to my worker. She has them. Get them from her.
13. I don't want you to talk to my landlord or my employer. If they knew I was on welfare I might have to move and I might lose my job.

Collaterals and/or Friends:

1. Why are you contacting me?
2. How much money does this person get from the Government?
3. How are you going to use the information that I give you?
4. How is the information going to affect me or the client?
5. Why are you working for the welfare system?
6. How can I get in touch with this person?
7. Is this person in trouble with the Welfare Department?
8. Don't you know that this information you are requesting is confidential? Why should I give it to you?

APPENDIX B

QUALITY CONTROL ABBREVIATIONS MOST FREQUENTLY USED:

AFDC	Aid to Families with Dependent Children
AGENCY	Department of Public Welfare
ANB	Aid to the Needy Blind
A.N. CASES	Adult Negative Case - Denied OAA, ANB, or APTD Cases
A.P. CASES	Adult Positive Case - Active OAA, ANB, APTD Cases
APTD	Aid to the Permanently & Totally Disabled
BAPT. CERT.	Baptismal Certificate
B.C.	Birth Certificate
BRO or B	Brother
B.V.S.	Bureau of Vital Statistics - County City or State
B.I.L./BIL	Brother in Law
CIT	Citizen
CLIENT	Recipient or Grantee
CN CASE	Childrens Negative Case - Denied AFDC Case
COLL.	Collateral - Any outside source which serves to substantiate Client's statement or to provide additional information.
C.P. CASE	Children's Positive Case - An Active AFDC Case
D	Daughter
DAU	Daughter
DIL/D.I.L.	Daughter in Law
D.L.A.	Date of Last Action - Date of last complete review prior to Review Date
D.P.W.	Department of Public Welfare

ECF	Extended Care Facility
EP	Essential Person
ES	Employment Security
FSH	Financial Services Handbook
FIL	Father in Law
G.D. or GFA	Grandfather
GM or GMO	Grandmother
GRANTEE	Client or Recipient
GS or GSON	Grandson
H.I.B.	Hospital Insurance Benefits - Benefits paid thru Medicare
H.V.	Home visit by Q.C. Reviewer
ICF	Intermediate Care Facility
LOCAL OFFICE	Any Sub-office of the Department in which case records may be found
MA CASE	Medical Assistance Case
MIL	Mother in Law
MN CASE	Medical Negative Case
MO	Mother
N.H.	Nursing Home
OAA	Old Age Assistance - Also known as OA
PA	Public Assistance
PA OFFICE	Public Assistance Office
P.A.W.	Public Assistance Worker
PN	Personal Needs - Standardized Budgetary Item which covers the Allowances for Food, Clothing and Incidentals.

QC	Quality Control
QCR	Quality Control Reviewer
RECIP	Recipient - Also known as Grantee or Client
RES	Residence
REV	Review or Reviewer
REV DATE	Review Date - Date for which eligibility and payment status of the case is determined.
RR	Usually refers to Railroad Retirement Benefits
RX	Prescribed Drugs
S	Son
SDPW	State Department of Public Welfare
SIL	Son in Law - Also Sister in Law
SIS	Sister
SMIB	Supplementary Medical Insurance Benefits - This is a medical insurance benefit paid through Medicare
SP	Spouse
SS	Social Security
SSA	Social Security Administration
TEC	Texas Employment Commission (or use first letter of name of another State)
UIB	Unemployment Insurance Benefits
UTIL	Utilities
WKR	Worker

APPENDIX C

EXERCISES

The exercises in this section of the manual are included to provide the new Federal Quality Control Reviewer with individual written practice and with individual or group discussion with the instructor in various areas of the review process. Whether you are an individual trainee or one of a group, execution of the exercises will aid greatly in your understanding of the problems and the mechanism of the review process. Through day-to-day training and evaluations you should gain a growing awareness of duty, responsibility, and accountability as well as a growing desire to move into field assignments.

The materials which follow are in four sections: 1) Preliminary written exercises for indoctrination in the needs of the QC Reviewer in SRS, 2) Discussion assignments relating to different aspects of the system, 3) Responses in terms of Regional and State instructions, and 4) Susan Smith practice case for reviewing State plan eligibility factors which apply. The trainee will identify the factors which require verification. The trainee will identify types of verification, primary and secondary, which the trainee would develop if he were conducting the Quality Control review.

PRELIMINARY

Name______________________________

As one of your collateral contacts in regard to Ms. G, you contact the local grocery man in an effort to locate Ms. G. You have tried reaching her at home twice but get no response. The house does not appear lived in.

A. In a brief paragraph, how would you introduce yourself to the grocery store manager, and how would you explain your purpose in trying to locate Ms. G?

B. Upon stating your identity and purpose, the grocery man's opening statements are "Ms. G. is no good, a cheat, sleeps with several men, and misuses her welfare money!" In a brief paragraph, describe ypur response to the grocery man.

Answer only one:

A. List all written materials you have read or received which have helped you determine the scope/extent of AFDC programming in this Region.

B. List all topics which have been discussed, or which you read about that have helped you understand AFDC programming in this Region.

Choose One:

How would you briefly explain HEW to a welfare recipient?

How would you briefly explain SRS to a state agency, DPW case worker?

How would you briefly explain the QC function or program to a gas station attendant?

DISCUSSION ASSIGNMENTS

A. PHILOSOPHY OF QUALITY CONTROL SYSTEM:

1. Discuss rationale for the Quality Control System.
2. By what legal authority is it implemented?
3. Is it a fair process:

    a. to the states?
    b. to the welfare recipients?

4. What is its potential positive effect as a service to the community?
5. What are the possible negative effects as a disservice to the community?

B. PUBLIC RELATIONS AND PUBLIC INFORMATION:

1. Define the "Public Relations" concept.

2. Define the role of the Reviewer as it relates to the Public Relations process.

3. Define the Public Information concept.

4. What should the Public Relations image be between:

    a. SRS and State Welfare Q.C. Program
    b. SRS Q.C. staff and Q.C. State staff

C. REVIEWER'S ROLES

1. Discuss what tasks you had expected to perform.

2. How do you relate to the Monitor? to the Training Specialist? to the QC Coordinator? to the Case Worker? to the Client? to the Regional Commissioner?

D. UNDERSTANDING THE RECIPIENTS:

Discuss what you would know or expect generally of the recipients with whom you will be working as it relates to each of the following factors:

1. His basic human needs
2. His economic situation
3. His physical condition
4. His mental condition
5. His life styles
6. His defenses
7. His rights

E. RELATIONSHIP WITH COLLATERAL RESOURCES:

1. How can you establish a positive relationship?
2. Interpret the reasons for the interview.
3. How will you handle the collateral's curiosity or "other" questions about the client?
4. Determine how you might secure verification in writing.

F. SELF AWARENESS: (sensitivity, receptivity, acceptance)

1. What are your Personal Reactions and Responses to:

   a. Persons in Authority?

   b. Persons with different Cultural/Social Life Styles:
      (1) Has different speech pattern?
      (2) Lives in ghetto or barrio?
      (3) Is poverty stricken?
      (4) Is racially different?
      (5) Has smelly & dirty house?

2. What Emotional Factors Surface When You Encounter:

   a. Feelings of hopelessness?
   b. Feelings of threat to recipient's security.
   c. Hostile Attitudes?
   d. Negative Attitudes?
   e. The use of words such as "Nigger," "Honky," "Chink", and "Wop."
   f. Vulgarity?
   g. Familiarity?
   h. Apparent lack of motivation to remove.oneself from welfare rolls.

G. OTHER FACTORS RELATING TO THE USE OF SELF:
(Discuss each)

1. Constructive Use of Authority:

a. What does the word "Authority" mean to you

b. Define the "Authority" inherent in your position.

c. What kinds of behavior might be expected in relation to your authority? How can they be handled?

d. How to be firm when necessary?

2. How to empathize and remain objective

Exercise 1

Ms. R is listed as having a job and $60.00 net income on Feb. 1, 1973. The monitor is given this case for verification as of April 1, 1973. The record indicates she utilizes her 1961 Chevrolet for transportation to and from work. She is reportedly working for Westside Motel as a chambermaid. The monitor assigns this case to you for complete verification regarding income and personal property.

A. Cite all manual sections, and supplemental materials helpful and useful to you in planning a visit for complete verification of the above items.

References:	Topics, questions, or issues the references relate to in the above case.

Exercise 1 cont'd--

Page 2

B. At the time of your visit, you learn her income on April 1, 1973 was $30.00 per week. She has two children, and is living in a modern two bedroom home which rents for $95.00, and also has to pay all utilities. Cite manual sections and supplemental materials which you utilize in computing income and family needs.

References:	Topics, questions or issues the references relate to in the above case.

C. Cite QC manual section which informs the Quality Control reviewer of what to do about change in payment.

References:	Topics, questions, or issues the references relate to in the above case.

Exercise 1 cont'd--

Page 3

D. Write a brief paragraph about what you would tell Ms. R. about the effect your review will have on her grant.

As a reviewer, you are given a case listing three children in the Silva home. The Silvas are reported as being distant third cousins of the children group. The amount of AFDC foster care payment is given as $112.00 per month.

A. Cite manual references which you would use in planning to review the above case.

References:	Topics, issues, questions the references relate to in the above case.

B. In your respective State, are the children entitled to any shelter allocation, even though the Silvas pay for all shelter costs?

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Budget Bureau No. 83-R0148
Expires 9/30/73
Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)

FACE SHEET

Review No. 87654

1. LIVING ARRANGEMENT:
Private Rental plus utilities
$103 per month

2. GUARDIAN OR LEGAL REPRESENTATIVE

Name

Address

3. MEMBERS OF THE HOUSEHOLD

	Name	Birthdate	Relationship or Significance	Social Security Number	*
1.	Smith, Susan	4-7-43	client	957-65-4321	A
2.	Smith, John	3-2-63	son		A
3.	Smith, Harry	5-10-64	son		A
4.	Smith, Mary	2-22-70	daughter		A
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					

5. IDENTIFYING INFORMATION

Client's name Susan Smith
Address 100 Main St., Apt. B
Central City
Telephone No. No phone
Agency & Case No. ABC - 12345-6
Reviewer J. Jones
Date of most recent opening July 12, 1972
Directions to locate: Middle Apartment
1st floor
Other information:

4. SIGNIFICANT PERSONS NOT IN HOUSEHOLD

	Name	Age	Relationship or Significance	Address
13.	Smith, Walter	33	Father #'s 2, 3, 4	222 4th Avenue, Central City
14.				
15.				
16.				
17.				
18.				
19.				

*Indicate "A" if person is in assistance group; "NA" if not in assistance group.

Form SRS-APA-341-A (Rev. 11/72)
Department of Health, Education, and Welfare
Social and Rehabilitation Service
Assistance Payments Administration

Worksheet for --
Form SRS-APA-341-B (Rev. 11/72)
Review No. 87654

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD *(Pertinent facts, sources of verification, reliability, gaps or deficiencies)*	FINDINGS OF FIELD INVESTIGATION *(Facts obtained, verification and substantiation, nature of errors)*	RESULTS (Check col. 4 or col. 5 and/or 6)		
				Error	
			No Error	Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
R. Basic Program Requirements (a) Age	Client's declaration form indicates the following birth dates: John 3-2-63 Harry 5-10-64 Mary 3-22-70 All children were reportedly born in Capital City				
(b) Institutional Status	N/A				
(c) Disability – blindness	N/A				
(d) Living with specified relative	Client's declaration form reports she is the children's mother and showed their home address to be the same as hers.				
(e) Deprivation of parental support	Declaration reports Walter Smith is father and his home address is 222 4th Avenue. Copy of divorce decree in record - dated 6/1/72 - Union County Court #34567				

Form APA-341-A
Work Sheet
(Rev. 11/72)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 87654

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (*Pertinent facts, sources of verification, reliability, gaps or deficiencies*)	FINDINGS OF FIELD INVESTIGATION (*Facts obtained, verification and substantiation, nature of errors*)	RESULTS (*Check col. 4 or col. 5 and/or 6*)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
5. Resources (a) Real Estate (*home and other*)	Declaration form indicates client rent for her apartment and no property owned.				
(b) Life insurance	Declaration shows no insurance owned by client.				
(c) Medical insurance	Client declared no medical insurance.				
(d) Savings, cash, investments, etc.	Client reported on her declaration form that she had $73.15 in her checking account with the First National Bank.				
(e) Disposal of property	Client reported she had never owned nor disposed of any property.				

Form APA-341-A
Work Sheet
(Rev. 11/72)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 87654

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (Pertinent facts, sources of verification, reliability, gaps or deficiencies)	FINDINGS OF FIELD INVESTIGATION (Facts obtained, verification and substantiation, nature of errors)	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
T. Need – Income (a) Earnings	Client reported she worked as a waitress at night in 1971, before her husband left her. Declaration indicated no earnings as of report date.				
(b) OASDI and other pensions and benefits	Client's declaration denied ever having received any SSA or other pension program benefits.				
(c) Support payments and contributions	Client declared no support payments by Mr. Smith or others. Divorce settlement ordered Mr. Smith to pay $120-monthly for child support.				
(d) Other income	Client declared no other income.				
(e) Treatment of income	No income reported, therefore, none to treatment.				

Form APA-341-A
Work Sheet
(Rev. 11/72)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 87654

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (*Pertinent facts, sources of verification, reliability, gaps or deficiencies*)	FINDINGS OF FIELD INVESTIGATION (*Facts obtained, verification and substantiation, nature of errors*)	RESULTS (*Check col. 4 or col. 5 and/or 6*)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
U. Need – Requirements (a) Basic budgetary allowance	Client budgeted proper amount for four persons in grant; in household of four; rent and utilities paid.				
(b) Income level for maintenance *(medically needy only)*					
(c) Special circumstance allowance	Client declared no special allowance needs.				
(d) Proper persons included in budget	Grant shows Mrs. Smith and three children.				

Form APA-341-A
Work Sheet
(Rev. 11/72)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. 87654

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD *(Pertinent facts, sources of verification, eligibility, gaps or deficiencies)*	FINDINGS OF FIELD INVESTIGATION *(Facts obtained, verification and substantiation, nature of errors)*	RESULTS (Check col. 4 or col. 5 and/or 6)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
V. Other **(a) Arithmetical computation**	Arithmetic appears correct.				
(b) Action based on withdrawal, loss of contact, etc. **(negative actions only)**	N/A				
(c) – *(explain below)*	N/A				

Form APA-341-A
Work Sheet
(Rev. 11/72)

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION

Review No. ____________

ELEMENTS OF ELIGIBILITY AND PAYMENT DETERMINATION	QC ANALYSIS OF CASE RECORD (*Pertinent facts, sources of verification, reliability, gaps or deficiencies*)	FINDINGS OF FIELD INVESTIGATION (*Facts obtained, verification and substantiation, nature of errors*)	RESULTS (*Check col. 4 or col. 5 and/or 6*)		
			No Error	Error	
				Agcy.	Client
(1)	(2)	(3)	(4)	(5)	(6)
Information given to client: *(medically needy only)* Notification of decision [Item K(b)]					▨
Information on program scope [Item K(c)]					▨
Information on obtaining care [Item K(d)]					▨